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ABSTRACT

This document provides information, standards, and behavioral objectives for standardization and certification of retail food inspection personnel in the Food and Drug Administration (FDA). The procedures described in the document are based on the FDA Food Code, updated to reflect current Food Code provisions and to include a more refined focus on foodborne illness risk factors, Food Code interventions, and applications of the principles of Hazard Analysis Critical Control Point (HACCP). The document is organized in four chapters. The first chapter explains the rationale for the standards and the procedures guide, the scope of the guide, and definitions. Chapter 2 describes the qualifications required for certification as a retail food inspection and training officer, and Chapter 3 describes the field requirements for certification. Chapter 4 describes the communication skills required to convey the purpose and the findings of the inspection. Two tables, five annexes, and seven charts list all the regulations that candidates for certification must know, how the regulations are applied, and how the candidates must demonstrate their knowledge. (KC)

FDA Procedures for Standardization and Certification of Retail Food Inspection / Training Officers

U.S. Public Health Service



2000

**U. S. DEPARTMENT OF HEALTH AND HUMAN
SERVICES**

**Public Health Service
Food and Drug Administration
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U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

COVER MEMO TO BE TRANSMITTED WITH THE STANDARDIZATION AND CERTIFICATION PROCEDURES May 13, 1999

To:
FDA Retail Food Specialists
Candidates for Standardization and Certification
Other Users of these Procedures

From:
Retail Food Steering Committee

Subject:
FDA Procedures for Standardization and Certification of Retail Food Inspection / Training Officers

Development

We are pleased to provide these Procedures which are the result of the collective efforts over the last few years by various working groups within FDA, in consultation with the states, through the Conference for Food Protection and cooperative field application. This document has undergone many revisions and trial approaches to strike a balanced mix of the various aspects of Standardization and Certification. It focuses on preventive practices that are reflective of the Food Code interventions and that address Risk Factors known to contribute to foodborne illness, and encourages a voluntary HACCP-based response from industry to observed deficiencies.

Living Document

We believe this is a procedure that integrates the assessment of an individual's knowledge, skills, and abilities in a manageable number of inspections while preserving the quality and integrity of the process. At the same time, we continue to learn from our experiences in applying it and remain open to improving these Procedures based on your experiences and feedback.

Perspective of Procedures as Written

As they are written, the Procedures address the situation wherein an FDA Standard is assessing a CANDIDATE who is not employed by FDA. For example, Subparagraph 3-301(C) mentions but does not require recording citations (i.e., identifying the codified provision that relates to each observed violation). Since jurisdiction's codification systems (numeric or alphanumeric) are usually different from the system in the FDA Food Code, the utility of that practice would be minimal in an FDA-to-jurisdiction field exercise. However, within a jurisdiction where the same Code is in use, the practice could be useful in reinforcing diligence in ensuring that violations listed during inspections are, in fact, soundly based in regulation.

Use of Procedures

We invite and encourage jurisdictions to use these Procedures in their internal Standardization and Certifications and to add dimensions that promote uniformity such as citing codified provisions, as discussed above. With a few language changes, the document can be custom-tailored to fit individual jurisdictions and serve as their procedures. As with other documents provided as guidance for applying regulatory requirements in the retail sector, these Procedures are in the "public domain" and we encourage their duplication and use.

Significant Changes

As mentioned earlier, this document sets forth a condensed and targeted process. It also contains some significant departures, which we believe to be improvements, from the historical process. One of particular note is the fact that the design of the inspection report form evokes an active and comprehensive recording of conditions. That is, it requires the Candidate to seek out an observation regarding all Code provisions or categories of Code provisions and to record the status rather than to rely on a more passive method of citing only observed violative conditions.

We thank you for your input to date, look forward to using these Procedures with your Candidates, and encourage your assistance in improving this document as we continue to work together towards uniformity in how we go about achieving our mutual goal of FOOD safety at the retail level. FDA's Division of Federal/State Relations will be the central receiving point for your comments:

Division of Federal/State Relations
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CONTENTS

CHAPTER 1	PURPOSE AND DEFINITIONS	5
CHAPTER 2	QUALIFYING FOR CERTIFICATION	14
CHAPTER 3	CERTIFICATION: FIELD REQUIREMENTS AND ADMINISTRATION	16
CHAPTER 4	COMMUNICATION SKILLS	35
TABLE 1	SUMMARY OF EVALUATION METHODS	19
TABLE 2	SUMMARY OF LEVEL OF AGREEMENT	28
ANNEX 1	FDA CERTIFICATION NOMINATION FORM	1 Section
ANNEX 2	FDA STANDARDIZATION INSPECTION REPORT	3 Sections
ANNEX 3	RISK CONTROL PLAN	2 Sections
ANNEX 4	HACCP VERIFICATION	2 Sections
ANNEX 5	SCORING FORM AND INSTRUCTIONS FOR SCORING AND DETERMINING PERFORMANCE	1 Section
CHART 1	RISK FACTORS IDENTIFIED/ CORRECTIVE ACTION REQUIRED	Annex 3-1
CHART 1a	SAMPLE RISK FACTORS IDENTIFIED / CORRECTIVE ACTION REQUIRED	Annex 3-2
CHART 2	HACCP PLAN VERIFICATION SUMMARY	Annex 4-2
CHART 3	PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT	Annex 5
CHART 3a	SAMPLE PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT	Annex 5
CHART 3b	SAMPLE PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT	Annex 5
CHART 4	CANDIDATE'S FINAL PERFORMANCE SCORE	Annex 5

Chapter 1	Purpose and Definitions
------------------	--------------------------------

1-1	INTRODUCTION	5
1-101	Background	5
1-102	Introduction	6
1-103	Purpose	6
1-104	Scope	7
1-105	Identifying Applicants	7
1-2	DEFINITIONS	8
1-201	Applicability and Terms Defined	8

Chapter 2	Qualifying for Certification
------------------	-------------------------------------

2-1	PREREQUISITE TRAINING AND EXPERIENCE	14
2-101	Objective	14
2-102	Eligibility	14

Chapter 3	Certification: Field Requirements and Administration
------------------	---

3-1	SCOPE	16
3-101	Objective	16
3-102	Performance Areas	17
3-103	Methodology	18
3-2	INSPECTION EQUIPMENT REQUIREMENTS	19
3-201	Equipment Use	19
3-202	Equipment List	20

3-3	INSPECTIONS	20
3-301	Field Exercise	20
3-302	Performance Criteria	22
3-303	Assessment – Level of Agreement with Performance Criteria	26
3-4	FDA CERTIFICATION	28
3-401	Certificate Issuance	28
3-402	Certificate Expiration	28
3-403	Certificate Maintenance	28
3-5	CERTIFICATION RENEWAL	29
3-501	Requirements	29
3-502	Expired Certificate	29
3-6	TERMINATION OF FIELD EXERCISE OR CERTIFICATION SUSPENSION OR REVOCATION	30
3-601	Termination of Field Exercise	30
3-602	Certification Suspension or Revocation	30
3-603	Request for Recertification After Termination, Suspension, or Revocation	31
3-7	APPEALS	32
3-701	Appeals Board Members	32
3-702	Filing an Appeal	32
3-703	Appeals Board Meeting	32
3-704	Hearings	33

Chapter 4

Communication Skills

4-1	APPLICATION	34
4-101	Objective	34

4-102	Introduction	35
4-103	Interview with the Person in Charge	35
4-104	Exit Conference	36

Annex 1	FDA Certification Nomination Form
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SECTION 1	FDA Certification Nomination Form	2 pp.
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Annex 2	FDA Standardization Inspection Report
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SECTION 1	FDA STANDARDIZATION INSPECTION REPORT	5 pp.
SECTION 2	1999 FOOD CODE REFERENCE SHEET	17 pp.
SECTION 3	REPORT MARKING INSTRUCTIONS	19 pp.

Annex 3	Risk Control Plan
----------------	--------------------------

SECTION 1	RISK CONTROL PLAN	2 pp.
SECTION 2	RISK CONTROL PLAN SAMPLE	2 pp.

Annex 4	HACCP Verification
----------------	---------------------------

SECTION 1	HACCP PLAN VERIFICATION WORKSHEET	3 pp.
SECTION 2	HACCP PLAN VERIFICATION SUMMARY	1 p.

Annex 5	Scoring Form and Instructions for Scoring 5pp. and Determining Performance
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Chapter

1 Purpose and Definitions

Parts

1-1 INTRODUCTION

1-2 DEFINITIONS

1-1 INTRODUCTION

Subparts

1-101 Background

1-102 Introduction

1-103 Purpose

1-104 Scope

1-105 Identifying Applicants

1-101 Background.

Under the authority of the Public Health Service Act as amended, the FDA has a responsibility to provide assistance to state and local retail FOOD protection programs [42 USC 243]. The FDA provides assistance to federal agency retail FOOD protection programs under authority of the Economy Act [31 USC 1535]. Assistance provided to state, local, and federal governmental bodies is also pursuant to FDA's authorities and responsibilities under the Federal Food, Drug, and Cosmetic Act [21 USC 301].

Historically, FDA has met this responsibility by offering a variety of training opportunities and technical assistance based on model codes addressing recommended sanitation and FOOD safety criteria for retail FOOD ESTABLISHMENTS. Providing model FOOD codes and model code interpretations and opinions, is the mechanism through which FDA, as a

lead federal FOOD control agency, promotes uniform implementation of national FOOD regulatory policy among federal, state, tribal, and local agencies that have primary responsibility for retail FOOD safety oversight or regulation. To assure greater uniformity, FDA recommends that regulatory jurisdictions adopt the model Food Code as LAW or regulation.

1-102 Introduction.

The main goal of a national food safety program is the reduction and prevention of foodborne illness. To that end, FDA provides several pathways, one of which is the STANDARDIZATION and CERTIFICATION of retail food inspection personnel. This process provides regulatory personnel the opportunity to subject their knowledge and skills related to the Code's provisions to a uniform system of measurement. The process and criteria for demonstrating proficiency in the required performance areas are described in the *FDA Procedures for Standardization and Certification of Retail Food Inspection / Training Officers*.

The procedures are based on the FDA Food Code and are updated to reflect current Food Code provisions and to include a more refined focus on foodborne illness RISK FACTORS, FOOD CODE INTERVENTIONS, and application of the principles of HAZARD ANALYSIS CRITICAL CONTROL POINT (HACCP).

It is critical that FOOD safety personnel become STANDARDIZED and subsequently CERTIFIED through this process to ensure that retail FOODS are safe, unadulterated, and honestly presented at retail throughout the United States. CERTIFICATION as an FDA-CERTIFIED INSPECTION / TRAINING OFFICER is issued to all CANDIDATES who successfully complete the STANDARDIZATION process.

1-103 Purpose.

Through the application of the procedure, the CANDIDATE will demonstrate knowledge and expertise in the understanding, application, and interpretation of FOOD CODE INTERVENTIONS, foodborne illness RISK FACTORS, and HACCP PRINCIPLES; and in the use of essential inspection equipment; and will exhibit necessary communication skills in conducting a FOOD ESTABLISHMENT inspection. This procedure is not intended to provide basic training to individual CANDIDATES.

The CANDIDATE shall meet all the requirements of the procedure, in order to

be CERTIFIED by FDA. Chapter 2 of the procedure describes the qualifications required of the CANDIDATE; Chapter 3 describes the field requirements; and Chapter 4 describes the communication requirements to convey the purpose and the findings of the inspection.

CANDIDATES who are successful in achieving CERTIFICATION by FDA are expected to use the procedure to train or STANDARDIZE other inspectors within their regulatory agency.

1-104 Scope.

The procedures describe the process used by the FDA STANDARD in CERTIFYING qualified FOOD safety inspection personnel in retail FOOD ESTABLISHMENT inspection technique, based on the FDA Food Code, and leading to CERTIFICATION as an FDA-CERTIFIED INSPECTION / TRAINING OFFICER. They are also intended as a model process for states, tribes, territorial governments, local municipalities, and other governing bodies that directly regulate FOOD ESTABLISHMENTS and have FOOD safety regulatory responsibilities at retail.

1-105 Identifying Applicants.

Each state REGULATORY AUTHORITY for retail FOOD ESTABLISHMENTS, as broadly defined by the FDA Food Code, is encouraged to select at least 1 individual to be STANDARDIZED and CERTIFIED by FDA as the FDA-CERTIFIED INSPECTION / TRAINING OFFICER. The FDA-CERTIFIED INSPECTION / TRAINING OFFICER may also be CERTIFIED as a retail PROGRAM EVALUATION OFFICER by completing additional training and performance requirements. A separate procedural document will be developed for FDA CERTIFICATION of PROGRAM EVALUATION OFFICERS.

1-2 DEFINITIONS

Subpart

1-201 Applicability and Terms Defined

- (A) All terms appearing throughout this document in SMALL CAPS refer to defined terms in the 1999 FDA Food Code and this document. The following definitions apply in the interpretation and application of this Procedure.
- (B) **Terms Defined:**
- (1) **"Applicant"** means an employee of the FDA, state, or other REGULATORY AUTHORITY who applies for CERTIFICATION or reCERTIFICATION and is recommended to the FDA for CERTIFICATION or reCERTIFICATION by the person's supervisor.
 - (2) **"Candidate"** means:
 - (a) An APPLICANT who successfully completes the eligibility requirements for initial CERTIFICATION; or
 - (b) An FDA-CERTIFIED INSPECTION / TRAINING OFFICER who is applying for reCERTIFICATION.
 - (3) **"Certificate"** means the official document issued by FDA to a "CERTIFIED INSPECTION / TRAINING OFFICER."
 - (4) **"Certification"** means the process by which the STANDARD verifies that a CANDIDATE meets the requirements set out in the STANDARDIZATION and CERTIFICATION procedures for INSPECTION / TRAINING OFFICERS.
 - (5) **"Certified Inspection / Training Officer"** means a person who has been issued a CERTIFICATE by the FDA, stating that the CANDIDATE has successfully met all requirements for CERTIFICATION.

- (6) **"Certified Program Evaluation Officer"** means a person who has been CERTIFIED as an INSPECTION / TRAINING OFFICER and has also met the additional requirements for an FDA-CERTIFIED PROGRAM EVALUATION OFFICER, such as program evaluation.
- (7) **"Complex food preparation"** means a process wherein multiple FOOD processes are involved in the preparation of a retail FOOD item, i.e., FOOD is stored, prepared, cooked, cooled, reheated, hot held, and served.
- (8) **"CCP"** means **"CRITICAL CONTROL POINT,"** a point or procedure in a specific FOOD system where loss of control may result in an unacceptable health risk.
- (9) **"CL"** means **"CRITICAL LIMIT,"** the maximum or minimum value to which a physical, biological, or chemical parameter must be controlled at a CRITICAL CONTROL POINT to minimize the risk that the identified FOOD safety HAZARD may occur.
- (10) **"Food Code interventions"** means the following set of new preventive measures that were introduced beginning with the 1993 Food Code. The INTERVENTIONS are:
- (a) Demonstration of Knowledge;
 - (b) EMPLOYEE Health;
 - (c) Hands as a Vehicle of Contamination (also a RISK FACTOR);
 - (d) Time -Temperature Relationships (also a RISK FACTOR); and
 - (e) Consumer Advisory.
- (11) **"GRP"** means **"GOOD RETAIL PRACTICES,"** which are preventive measures that include practices and procedures which effectively control the introduction of pathogens, chemicals, and physical objects into FOOD. GOOD RETAIL PRACTICES are prerequisites to instituting a HACCP PLAN or RISK CONTROL PLAN.
- (12) **"HACCP"** means **"HAZARD ANALYSIS CRITICAL CONTROL POINT."**
- (13) **"HACCP plan"** means a written document that delineates the formal procedures for following the HAZARD ANALYSIS CRITICAL CONTROL POINT PRINCIPLES developed by the National Advisory Committee on Microbiological Criteria for Foods.

- (14) **"HACCP principles"** means the 7 principles of the Hazard Analysis and Critical Control Point System which:
- (a) Were adopted March 20, 1992 and amended 8/14/97, by the National Advisory Committee for the Microbiological Criteria for Foods; and
 - (b) Are the following:
 - (i) Conduct a HAZARD analysis;
 - (ii) Identify the CCPs in the process;
 - (iii) Establish CRITICAL LIMITS for preventive measures associated with each identified CCP;
 - (iv) Establish CCP monitoring requirements;
 - (v) Establish corrective action to be taken when monitoring indicates that there is a deviation from the established critical limit;
 - (vi) Establish procedures for verification that the HACCP system is working correctly; and
 - (vii) Establish effective recordkeeping procedures that document the HACCP system.
- (15) **"HSP"** means **"HIGHLY SUSCEPTIBLE POPULATION,"** a group of PERSONS who are more likely than other populations to experience foodborne disease because they are immunocompromised or older adults and in a facility that provides health care or assisted living services, such as a hospital or nursing home; or preschool age children in a facility that provides custodial care, such as a day care center.
- (16) **"NSSP"** means **"National Shellfish Sanitation Program,"** which is a cooperative state-FDA-industry program for the sanitary control of shellfish that are shipped in interstate commerce.
- (17) **"Person in charge"** means the individual present at a FOOD ESTABLISHMENT who is responsible for the operation at the time of the inspection.
- (18) **"PHF"** means **Potentially Hazardous Food.**

- (a) **“Potentially hazardous food”** means a FOOD that is natural or synthetic and that requires temperature control because it is in a form capable of supporting:
- (i) The rapid and progressive growth of infectious or toxigenic microorganisms;
 - (ii) The growth and toxin production of *Clostridium botulinum*; or
 - (iii) In raw shell eggs, the growth of *Salmonella Enteritidis*.
- (b) **“Potentially hazardous food”** includes an animal FOOD (a FOOD of animal origin) that is raw or heat-treated; a FOOD of plant origin that is heat-treated or consists of raw seed sprouts; cut melons; and garlic-in-oil mixtures that are not modified in a way that results in mixtures that do not support growth as specified under Subparagraph (a) of this definition.
- (c) **“Potentially hazardous food”** does not include:
- (i) An air-cooled hard-boiled egg with shell intact;
 - (ii) A FOOD with an a_w value of 0.85 or less;
 - (iii) A FOOD with a pH level of 4.6 or below when measured at 24 °C (75 °F);
 - (iv) A FOOD, in an unopened HERMETICALLY SEALED CONTAINER, that is commercially processed to achieve and maintain commercial sterility under conditions of nonrefrigerated storage and distribution;
 - (v) A FOOD for which laboratory evidence demonstrates that the rapid and progressive growth of infectious or toxigenic microorganisms or the growth of *S. Enteritidis* in eggs or *C. botulinum* can not occur, such as a FOOD that has an a_w and a pH that are above the level specified under Subparagraphs (c)(ii) and (iii) of this definition and that may contain a preservative, other barrier to the growth of microorganisms, or a combination of barriers that inhibit the growth of microorganisms; or

- (iv) A FOOD that does not support the growth of microorganisms as specified under Subparagraph (a) of this definition even though the FOOD may contain an infectious or toxigenic microorganism or chemical or physical contaminant at a level sufficient to cause illness.
- (19) **"Regulatory Authority"** means the state or federal enforcement body or authorized representative having jurisdiction over FOOD ESTABLISHMENTS.
- (20) **"Risk-based inspection"** means a FOOD ESTABLISHMENT inspection approach focused on identifying significant behaviors and practices inherent to the FOOD ESTABLISHMENT operations with particular emphasis on the FOOD CODE INTERVENTIONS and RISK FACTORS.
- (21) **"RCP"** means **Risk Control Plan** which is a mutually agreed upon written plan (between the CANDIDATE and the management of the FOOD ESTABLISHMENT) that describes a management system for control of foodborne disease RISK FACTORS. The plan delineates necessary records, responsible personnel, what needs to be controlled, and how it will be controlled.
- (22) **Risk Factors.**
 - (a) **"Risk factors"** means improper practices or procedures, which have been identified by the Centers for Disease Control and Prevention (CDC), through epidemiological data as the most prevalent contributing factors of foodborne illness or injury.
 - (b) **"Risk factors"** includes:
 - (i) poor personal hygiene;
 - (ii) FOOD from unsafe source;
 - (iii) inadequate cooking;
 - (iv) improper holding temperatures; and
 - (ii) contaminated EQUIPMENT.
- (23) **"RTE"** means **Ready-to-Eat Food**.
 - (a) **"Ready-to-eat-food"** means FOOD that is in a form that is edible without washing, cooking, or additional preparation by the FOOD ESTABLISHMENT or the CONSUMER and that is reasonably expected to be consumed in that form.

- (b) **“Ready-to-eat-food”** includes:
- (i) **POTENTIALLY HAZARDOUS FOOD** that is **unPACKAGED** and cooked to the temperature and time required for the specific **FOOD** under Subpart 3-401 of the Food Code;
 - (ii) **Raw, washed, cut fruits and vegetables;**
 - (iii) **Whole, raw fruits and vegetables** that are presented for consumption without the need for further washing, such as at a buffet; and
 - (iv) **Other FOOD** presented for consumption for which further washing or cooking is not required and from which rinds, peels, husks, or shells are removed.
- (24) **"Standard"** means a person employed by FDA who is responsible for certifying a **CANDIDATE**. This person shall be **CERTIFIED** by the FDA Center for Food Safety and Applied Nutrition (CFSAN). The **STANDARD** represents the FDA position on all issues during the **CERTIFICATION** process.
- (25) **"Standardization"** means the process whereby a **CANDIDATE** demonstrates the knowledge and skills to satisfy **CERTIFICATION** requirements.

Chapter

2

Qualifying for Certification

Parts

2-1 PREREQUISITE TRAINING AND EXPERIENCE

2-1 PREREQUISITE TRAINING AND EXPERIENCE

Subparts

2-101 Objective

2-102 Eligibility

2-101 Objective.

This chapter explains the prerequisite training and experience requirements for CANDIDATES to qualify for FDA CERTIFICATION. In order for FDA to engage in the process of field inspections for the purpose of STANDARDIZATION and CERTIFICATION, the CANDIDATE must qualify by fulfilling the training and experience requirements specified in this chapter. These eligibility requirements only apply to first time APPLICANTS for FDA STANDARDIZATION and CERTIFICATION. Once CERTIFIED, CANDIDATES for reCERTIFICATION only need to meet the CERTIFICATION maintenance requirements (see Section 3-403).

2-102 Eligibility.

(A) APPLICANTS for initial FDA CERTIFICATION must:

- (1) Be routinely engaged in retail FOOD protection program work;**
- (2) Have job responsibility for conducting FOOD safety training**

and/or STANDARDIZATION of other regulatory personnel;

- (3) Have successfully completed within the preceding 2 years at least 20 contact hours of training in the application of FOOD science and related studies such as microbiology, epidemiology, regulations, plan review or HAZARD ANALYSIS CRITICAL CONTROL POINT (HACCP) PRINCIPLES; and
- (4) Have fulfilled one or more of the following prerequisites:
 - (a) At least 1 year of full time experience in retail FOOD ESTABLISHMENT inspections within the past 3 years, or
 - (b) At least one hundred retail FOOD ESTABLISHMENT inspections performed within the past 3 years, such as enforcement, training, or consultation inspections.
- (B) When an APPLICANT'S supervisor submits the CERTIFICATION Nomination form (Annex 1) to FDA, the APPLICANT shall provide documentation of having fulfilled the above eligibility requirements. The APPLICANT'S line supervisor must sign and date the nomination form. The completed nomination forms should be submitted to the appropriate FDA office.
- (C) APPLICANTS who do not meet eligibility requirements may later request CERTIFICATION, after completing the unmet requirements.

Chapter

3

Certification: Field Requirements and Administration

Parts

- 3-1 SCOPE**
- 3-2 INSPECTION EQUIPMENT REQUIREMENTS**
- 3-3 INSPECTIONS**
- 3-4 FDA CERTIFICATION**
- 3-5 CERTIFICATION RENEWAL**
- 3-6 TERMINATION OF FIELD EXERCISE OR CERTIFICATION
SUSPENSION OR REVOCATION**
- 3-7 APPEALS**

3-1 SCOPE

Subparts

- 3-101 Objective**
- 3-102 Performance Areas**
- 3-103 Methodology**

3-101 Objective.

This chapter explains the field requirements leading to FDA
CERTIFICATION.

3-102 Performance Areas.

The following areas of performance shall be addressed by the CANDIDATE during the retail FOOD ESTABLISHMENT inspections and evaluated by the STANDARD:

(A) Good Retail Practices:

The CANDIDATE shall demonstrate knowledge of current FDA Food Code provisions related to GOOD RETAIL PRACTICES and the ability to interpret and apply them.

(B) Risk-Based Inspection:

The CANDIDATE shall demonstrate knowledge of current FDA Food Code provisions related to FOOD CODE INTERVENTIONS and RISK FACTORS which are most frequently associated with foodborne illness or injury.

(C) Application of HACCP:

The CANDIDATE shall demonstrate the ability to verify compliance with an existing HACCP PLAN. In the absence of a HACCP PLAN, the CANDIDATE shall demonstrate the ability to apply all 7 HACCP PRINCIPLES to the inspection process.

(D) Inspection Equipment:

The CANDIDATE shall be equipped and familiar with inspection equipment essential to each FOOD ESTABLISHMENT inspection. During the inspection, the CANDIDATE shall demonstrate knowledge of proper use of essential inspection equipment.

(E) Communication:

The CANDIDATE shall demonstrate the ability to effectively communicate with the PERSON IN CHARGE and explain significant inspection findings to the PERSON IN CHARGE at the conclusion of the inspection.

3-103 Methodology.

(A) Initial CERTIFICATION:

The FDA STANDARD and the CANDIDATE shall conduct 8 joint field inspections of retail FOOD ESTABLISHMENTS (including at least 1 with a HACCP PLAN) selected by the STANDARD. The FOOD ESTABLISHMENTS selected for inspection during CERTIFICATION should be in risk category 3, 4, or 5 as described in the Food Code, Annex 4. All 8 inspections for initial CERTIFICATION should be completed within a reasonable period of time, not to exceed 12 months.

(B) ReCERTIFICATION:

The FDA STANDARD and the CANDIDATE will conduct 6 joint field inspections of retail FOOD ESTABLISHMENTS (including at least 1 with a HACCP PLAN) selected by the STANDARD. The FOOD ESTABLISHMENTS selected for inspection during reCERTIFICATION should be in risk category 3, 4, or 5 as described in the Food Code, Annex 4. All 6 inspections for reCERTIFICATION should be completed within a reasonable period of time, not to exceed 3 years.

(C) Options of the Standard:

The STANDARD has the option of adjusting the time period, type of facility selected, and methodology for inspection at any time to enhance the effectiveness of the CERTIFICATION process.

(D) Performance Evaluation Methods:

The performance of the CANDIDATE shall be evaluated by the FDA STANDARD using the methods outlined in the following table:

Table 1. Summary of Evaluation Methods for Each Performance Area.

PERFORMANCE AREA	INITIAL CERTIFICATION ¹	RE-CERTIFICATION ²
GOOD RETAIL PRACTICES	Joint Inspections	Joint Inspections
RISK-BASED INSPECTION	Joint Inspections	Joint Inspections
Application of HACCP PRINCIPLES	<ul style="list-style-type: none"> • RISK CONTROL PLAN • Process Flow Charts • Verification of existing HACCP PLAN and • Orally communicates 7 PRINCIPLES OF HACCP 	<ul style="list-style-type: none"> • RISK CONTROL PLAN • Process Flow Charts (optional) and • Verification of existing HACCP PLAN
Inspection Equipment	Field Observations	Field Observations
Communications	Field Observations	Field Observations

- NOTE:**
1. All of the initial CERTIFICATION requirements are to be completed during a total of 8 joint inspections with the FDA STANDARD, over a period not to exceed 12 months.
 2. The recERTIFICATION requirements are to be completed during a total of 6 joint inspections with the FDA STANDARD over a period not to exceed 3 years.

3-2 INSPECTION EQUIPMENT REQUIREMENTS

Subparts

3-201 Equipment Use

3-202 Equipment List

3-201 Equipment Use.

Specific inspection equipment is required to effectively and accurately conduct an inspection and evaluate RISK FACTORS that contribute to foodborne illness in retail FOOD operations. The CANDIDATE shall be evaluated on the proper use of the inspection equipment during all inspections (refer to Subpart 3-302 (C)). Even though some equipment is listed as optional, it may be essential for some FOOD ESTABLISHMENT inspections, depending on the circumstances (Food Code, Annex 4).

3-202 Equipment List.

- (A) The following is a list of the *essential* equipment recommended to evaluate a retail FOOD operation:
- (1) Necessary inspection forms and administrative materials;
 - (2) Lab coat or equivalent protection to cover street clothes;
 - (3) Head cover: baseball cap, hair net, or equivalent;
 - (4) Thermocouple TEMPERATURE MEASURING DEVICE;
 - (5) Maximum registering thermometer or temperature-sensitive tapes for verifying hot water WAREWASHER final rinse temperature;
 - (6) Chemical test kit for different chemical SANITIZER types;
 - (7) Flashlight; and
 - (8) Alcohol swabs.
- (B) The following is a list of *optional* equipment recommended to evaluate a retail operation:
- (1) Light meter;
 - (2) Pressure gauge;
 - (3) Measuring tape;
 - (4) Time-temperature data logger;
 - (5) pH meter;
 - (6) Water activity meter; and
 - (7) Camera.

3-3 INSPECTIONS

Subparts

- 3-301 Field Exercise**
- 3-302 Performance Criteria**
- 3-303 Assessment**

3-301 Field Exercise.

- (A) **CANDIDATE Inspection Duties:**
During all joint field retail FOOD ESTABLISHMENT inspections, the CANDIDATE shall take the lead. The CANDIDATE shall make introductions and determine who the PERSON IN CHARGE is at the

beginning of each inspection.

The CANDIDATE shall record all observations and inspection data collected during the inspection. For the purpose of tracking temperature patterns, it is recommended that the CANDIDATE perform a preliminary survey of FOOD temperatures early in each inspection.

At various times during the field exercise the CANDIDATE shall be directed to perform specific tasks, such as explaining code requirements, citing code provisions, calibrating inspection equipment, and preparing flow charts or reviewing HACCP records to demonstrate proficiency in each area.

(B) Performance Areas:

During the inspection, the STANDARD shall observe and evaluate the CANDIDATE, based on the CANDIDATE'S interpretation and application of FDA Food Code provisions. Five performance areas are included in the evaluation:

- (1) GOOD RETAIL PRACTICES;
- (2) RISK-BASED INSPECTION;
- (3) Application of HACCP PRINCIPLES;
- (4) Inspection equipment; and
- (5) Communications.

(C) Determining Code Citations:

It is recommended that when the STANDARD and the CANDIDATE are employed by the same agency, i.e., using the same set of codified provisions, each cite the appropriate code provision corresponding to each violation observed. For this section only, scoring is not used and does not impact the outcome of the CANDIDATE's performance.

(D) Comparison of Findings:

Following each joint FOOD ESTABLISHMENT inspection, the CANDIDATES shall compare their findings with the STANDARD, and the differences shall be thoroughly discussed before proceeding to the next inspection (See Annex 2). The STANDARD shall retain the CANDIDATE's inspection reports, flow charts, and RISK CONTROL PLAN to document satisfactory completion of CERTIFICATION requirements (See Annexes 2 and 3).

At the conclusion of the field exercise, the STANDARD shall tabulate

and review the CANDIDATE's inspection results and other observations to determine if the CANDIDATE has successfully completed the requirements for CERTIFICATION (See Annex 5).

3-302 Performance Criteria.

To be CERTIFIED by FDA, a CANDIDATE shall meet the following criteria for each performance area:

(A) Risk-Based Inspection and Good Retail Practices:

(1) Inspection Report:

At the conclusion of each inspection the CANDIDATE shall complete the *FDA STANDARDIZATION Inspection Report* (Annex 2, Section 1), based on observations and data collected during the inspection. The CANDIDATE shall determine which items on the inspection report form were in or out of compliance, not observed, and/or not applicable based on the observations.

(2) Candidate Scoring:

The STANDARD shall grade each *FDA STANDARDIZATION Inspection Report* (Annex 2, Section 1), by circling each incorrectly marked item and discussing these items with the CANDIDATE after each inspection.

The Standard may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standard would alert the Candidate to the missed opportunity. A scoring of "S" should be used in instances such as when an opportunity to take a cooked hamburger temperature is available, but the Candidate does not take the temperature and subsequently marks 5.1(B) as NO. The Standard's scoring of an item as "S" represents a disagreement between the Candidate and the Standard.

At the conclusion of each inspection, the STANDARD shall determine the number of disagreements on items and record that number in the chart provided in Annex 5. At the completion of the final inspection, the STANDARD shall total the number of disagreements for all FOOD ESTABLISHMENTS inspected.

- (a) To satisfy the "RISK-BASED INSPECTION" performance area, the CANDIDATE shall not disagree with the STANDARD on more than 11 items in any one ESTABLISHMENT in this

section of the STANDARDIZATION Inspection Report and have an average score of at least 90%.

- (b) To satisfy the "GOOD RETAIL PRACTICES" performance area, the CANDIDATE shall not disagree with the STANDARD on more than 5 items in any one ESTABLISHMENT in this section of the STANDARDIZATION Inspection Report and have an average score of at least 85%.

(B) Application of HACCP Principles:

During the FOOD ESTABLISHMENT inspections, the CANDIDATE shall demonstrate the proper inspection approach for FOOD ESTABLISHMENTS with preexisting HACCP PLANS and those without HACCP PLANS. Each CANDIDATE shall demonstrate an understanding of HACCP by:

(1) Flow Charts: (Required for initial CERTIFICATIONS; optional for recERTIFICATIONS)

(a) Preparing Process Flow Charts:

During the joint inspections, the STANDARD shall select a total of 3 processes for the CANDIDATE to describe on a flow chart. The CANDIDATE shall develop a flow chart for each process and identify the HAZARDS, CCPs, and CLs for every CCP on each flow chart. The STANDARD shall select 3 processes, which include:

- (i) Process 1 - *"No Cook Step";*
- (ii) Process 2 - *"Same Day Service"; and*
- (iii) Process 3 - *"COMPLEX FOOD PREPARATION."*

(b) Requirements:

The STANDARD shall grade the 3 flow charts based on the correct identification of HAZARDS, CCPs, and CLs. To satisfy this requirement, the 3 flow charts may contain no more than 2 errors or omissions. The **FDA Retail HACCP Guide: *"Managing Food Safety, A HACCP Principles Guide for Operators of Food Service, Retail Food Stores, and Other Food Establishments at the Retail Level"***, and the current edition of the **FDA Food Code** will be the reference documents for this exercise.

(2) Risk Control Plan: (Required for both initial CERTIFICATIONS and recERTIFICATIONS)

(a) Developing a RISK CONTROL PLAN:

During at least 1 of the joint inspections, the STANDARD will select a CCP that the CANDIDATE has determined is not in compliance with CLs set by the Food Code. The CANDIDATE shall develop a mock RISK CONTROL PLAN with the PERSON IN CHARGE. The RISK CONTROL PLAN should stress simple control measures that can be integrated into the daily routine of the FOOD ESTABLISHMENT. The plan should be brief and address the following points:

- (i) What HAZARD needs to be controlled;
- (ii) How the HAZARD will be controlled;
- (iii) Who is responsible for control; and
- (iv) What monitoring, record keeping, and corrective actions are required.

(b) Requirements:

To satisfy the requirements, all 4 points shall be addressed in the RISK CONTROL PLAN. The CANDIDATE is not required to ask the PERSON IN CHARGE to commit to implementation of the RISK CONTROL PLAN (Annex 3, Section1).

(3) HACCP Plans: (Required for both initial CERTIFICATIONS and recERTIFICATIONS)

(a) Verification of HACCP Plans:

During the joint inspections, the CANDIDATE shall select at least 1 FOOD ESTABLISHMENT to inspect that has implemented a HACCP PLAN. The CANDIDATE shall demonstrate the ability to verify that the HACCP PLAN is implemented by reviewing the FOOD ESTABLISHMENT's monitoring procedures and record keeping; verifying that CLs are met, and by substantiating that corrective actions are taken when the CLs are not met. The STANDARD shall select at least 1 CCP for the CANDIDATE to verify.

The CANDIDATE shall review the records for the selected CCPs for 3 specific twenty-four hour periods, which shall

include records for the current day and 2 additional days selected at random. Based on this review, the CANDIDATE shall make the following determinations regarding monitoring, record keeping, and the performance of corrective action for a total of 9 HACCP PLAN record answers (Annex 4, Chart #2):

- (i) Required monitoring was performed on the 3 selected dates;
- (ii) Accurate and consistent records appear for the selected dates; and
- (iii) Corrective action was documented in accordance with the plan when CLs were not met on each of the 3 selected dates (CANDIDATE shall select the 3 days of records through discussions with the FOOD ESTABLISHMENT management).

(b) **HACCP Principles (For initial CERTIFICATION only):**
The CANDIDATE shall orally communicate to the STANDARD the HACCP PRINCIPLES and how they would apply to the FOOD ESTABLISHMENT'S operation.

(c) **Requirement:**
The CANDIDATE shall record the determination under "Records" on the FDA STANDARDIZATION Inspection Report (Annex 2, Section 1, #14); and document findings on the HACCP PLAN Verification Summary Chart (Annex 4, Section 2, Chart #2). To satisfy this requirement, the CANDIDATE and the STANDARD shall be in agreement in at least 8 out of the 9 HACCP PLAN record answers on the HACCP PLAN Verification Summary Chart.

(C) Inspection Equipment:

The CANDIDATE shall have *essential* equipment (listed in 3-202) available for use during each inspection and shall demonstrate knowledge of necessary equipment to conduct a FOOD ESTABLISHMENT inspection. The CANDIDATE shall know how to properly use and maintain the equipment. Specifically, the CANDIDATE shall demonstrate that the temperature measuring device is accurate at 0 °C (32 °F) and 100 °C (212 °F).

(D) Communications:

In accordance with Chapter 4 of this procedure, the CANDIDATE shall take the lead in communicating with industry personnel during each of the inspections in 3 areas:

- (1) Introduction;
- (2) Person in Charge Interview; and
- (3) Exit Conference.

During the inspections, the CANDIDATE shall demonstrate by example the concepts of FOOD safety such as washing hands at the appropriate place and time and wearing the proper inspection apparel. The STANDARD shall observe and evaluate the CANDIDATE by focusing attention on communication skills that relay to the PERSON IN CHARGE, the compliance status and any observations, concerns, and alternatives for compliance. Satisfactory performance is achieved if this information is conveyed in a way that is understood, accepted, and acted upon.

3-303 Assessment - Level of Agreement with Performance Criteria.

(A) Chart 3 in Annex 5 can be used to tally the number of disagreements on the items between the STANDARD and the CANDIDATE in the “RISK-BASED INSPECTION” and “GOOD RETAIL PRACTICES” sections of the STANDARDIZATION Inspection Report.

(B) Criteria for Success:

- (1) To achieve CERTIFICATION, the CANDIDATE shall meet minimum requirements for the 3 Performance Areas described in 3-302 (A) and (B). The CANDIDATE may receive “Needs Improvement” classification in the Equipment and Communications Performance Areas and still be CERTIFIED.
- (2) When one or both of these Performance Areas is classified as needing improvement, the CANDIDATE and the CANDIDATE’s supervisor shall be notified that the “Needs Improvement” area or areas must be satisfactorily addressed before reCERTIFICATION is granted. Prior to reCERTIFICATION, the CANDIDATE’s supervisor must notify the STANDARD that the area or areas or concern have been addressed.

Table 2. SUMMARY OF LEVEL OF AGREEMENT REQUIRED FOR EACH PERFORMANCE AREA.

PERFORMANCE AREA	LEVEL OF AGREEMENT
RISK-BASED INSPECTION Minimum of 80% = No more than 11 disagreements out of a total of 45 items	<ul style="list-style-type: none"> • No more than 11 disagreements in any one FOOD ESTABLISHMENT and average score of 90% on the FDA STANDARDIZATION Inspection Report.
GOOD RETAIL PRACTICES Minimum of 80% = No more than 5 disagreements out of a total of 26 items	<ul style="list-style-type: none"> • No more than 5 disagreements in any one FOOD ESTABLISHMENT and average score of 85% on the FDA STANDARDIZATION Inspection Report.
Application of HACCP PRINCIPLES	<ul style="list-style-type: none"> • 3 Process Flow Charts: (optional for recERTIFICATION.) Maximum of 2 errors or omissions (3-302(B)(1)) • 1 RISK CONTROL PLAN: 4 parts accurately addressed (3-302(B)(2)) • 1 HACCP PLAN Verification: Correctly review documentation records on 3 different dates, for a food establishment HACCP PLAN (3-302(B)(3)) with agreement on at least 8 out of the 9 answers on Chart #2 (ANNEX 4, Section 2) • Knowledge of HACCP PRINCIPLES: Accurately lists 7 steps (initial CERTIFICATION only)
Inspection Equipment**	<ul style="list-style-type: none"> • CANDIDATE has equipment from the <i>essential</i> equipment list • CANDIDATE demonstrates knowledge and use of <i>essential</i> EQUIPMENT (Rate as Satisfactory or Needs Improvement)
Communications **	Observations of : <ul style="list-style-type: none"> • Introductions to PERSON IN CHARGE (4-102) • Fact finding questions through interview with PERSON IN CHARGE (4-103) • CANDIDATE setting an example (4-102(B)) • Exit conference with PERSON IN CHARGE (4-104) (Rate as Satisfactory or Needs Improvement)
** Performance Areas deemed in need of improvement shall be satisfactorily addressed before recERTIFICATION.	

3-4 FDA CERTIFICATION

Subparts

3-401 CERTIFICATE Issuance

3-402 CERTIFICATE Expiration

3-403 CERTIFICATE Maintenance

3-401 CERTIFICATE Issuance.

Upon achieving the required level of agreement with the STANDARD, the CANDIDATE is awarded the CERTIFICATE of an FDA-CERTIFIED INSPECTION/ TRAINING OFFICER. A CERTIFICATE recognizing the accomplishment is forwarded to the CANDIDATE and notification is sent to the CANDIDATE'S supervisor within sixty days.

3-402 CERTIFICATE Expiration.

CERTIFICATION is valid for a period of 3 years. The date that CERTIFICATION is issued and the date that it expires appear on the CERTIFICATE issued by the STANDARD.

3-403 CERTIFICATE Maintenance.

- (A) Official records of all CERTIFICATIONS in retail FOOD inspection shall be maintained by the STANDARD for at least 3 years.
- (B) CERTIFICATION shall be maintained in good standing for the 3-year period when the CERTIFIED person:
 - (1) Each year, attends the annual Retail FOOD Protection Seminar held in the CERTIFIED person's FDA region;
 - (2) Annually conducts and documents STANDARDIZATION exercises, in accordance with this document, with at least 5 other retail FOOD program inspection personnel; and
 - (3) Annually accomplishes and documents at least 1 of the following activities:
 - (a) Assists at least 5 retail FOOD ESTABLISHMENTS in the

development of RISK CONTROL PLANS (RCP). The CERTIFIED INSPECTION/ TRAINING OFFICER shall submit a report describing the outcome of the RCP to the STANDARD, or

- (b) Conducts or coordinates and documents to the STANDARD at least 5 training courses related to the retail FOOD protection program, or
- (c) Performs and documents to the STANDARD any combination of training courses or RISK CONTROL PLANS that equals 5.

(C) Upon written request by the CERTIFIED person, the requirements listed in Paragraph 3-403 (B) may be adjusted by the STANDARD due to special situations or circumstances.

3-5 CERTIFICATION RENEWAL

Subparts

3-501 Requirements

3-502 Expired CERTIFICATE

3-501 Requirements.

In order to renew a person's CERTIFICATION, the STANDARD and the CERTIFIED person shall conduct 6 CERTIFICATION inspections, as described in Part 3-3 and Chapter 4. A person's CERTIFICATION may not be extended beyond the expiration date unless the person successfully fulfills the criteria described in Part 3-3 and Chapter 4, and has complied with the CERTIFICATION maintenance criteria listed in Part 3-4.

3-502 Expired CERTIFICATE.

If a person's CERTIFICATION expires and is not renewed, and the person subsequently reapplies for CERTIFICATION, the person shall apply in writing to the STANDARD for reCERTIFICATION giving reasons why the person is qualified and should be reCERTIFIED. The person shall submit a nomination form signed by the person's program supervisor. The

STANDARD shall respond in writing to the program supervisor advising whether or not FDA will proceed with recERTIFICATION and the conditions under which CERTIFICATION renewal may be accomplished.

3-6 TERMINATION OF FIELD EXERCISE OR CERTIFICATION SUSPENSION OR REVOCATION

Subparts

3-601 Termination of Field Exercise

3-602 CERTIFICATION Suspension or Revocation

3-603 Request for ReCERTIFICATION After Termination, Suspension, or Revocation

3-601 Termination of Field Exercise.

- (A) The STANDARD has the option to terminate the field exercise, at any time during the STANDARDIZATION procedure if the CANDIDATE is not properly prepared to achieve the required level of agreement.
- (B) The STANDARD shall notify the CANDIDATE and the CANDIDATE'S supervisor in writing of the reasons for failure.
- (C) The STANDARD shall document the results of the field exercise, with the reasons for termination of the field exercise, following termination of the STANDARDIZATION procedure. This information shall be forwarded to the CANDIDATE'S supervisor and a copy shall be placed in the FDA file. All evidence and conclusions reached by the Agency shall be documented in writing by the STANDARD and shall be kept for 3 years in accordance with the Freedom of Information Act.

3-602 CERTIFICATION Suspension or Revocation.

- (A) When a CERTIFIED person fails to fulfill the required maintenance activities described in Part 3-4, the STANDARD shall consult with the CERTIFIED person to fully examine the reasons for the failure.
- (B) Before suspension or revocation, the STANDARD shall consult with other appropriate personnel in the CERTIFIED person's agency and

within FDA including: the Center for Food Safety and Applied Nutrition (CFSAN), Office of Field Programs (OFP), Division of Cooperative Programs (DCP), Retail Food and Interstate Travel Team (RFITT), and the Office of Regulatory Affairs (ORA), Division of Federal-State Relations (DFSR).

- (C) The STANDARD, the RFITT, and the DFSR shall reach a decision as to whether:
- (1) No action should be taken;
 - (2) A warning letter should be sent to the CERTIFIED person and the person's supervisor or agency;
 - (3) The CERTIFICATION should be suspended temporarily, with notice regarding conditions required for reinstatement; or
 - (4) The CERTIFICATION should be revoked.
- (D) The STANDARD shall notify the CERTIFIED person and the supervisor of the CERTIFIED person, in writing, of the Agency's decision.
- (E) All evidence and conclusions reached by the Agency shall be documented in writing by the STANDARD and shall be kept for 3 years in accordance with the Freedom of Information Act.

3-603 Request for ReCERTIFICATION after Termination, Suspension, or Revocation.

CANDIDATES may apply for another opportunity to become CERTIFIED when an unsuccessful field exercise is terminated by the STANDARD or a CERTIFICATION or suspension or revocation occurs. Before reapplying, CANDIDATES should improve their skills and areas of weakness.

3-7 APPEALS

Subparts

- 3-701 Appeals Board Members**
- 3-702 Filing an Appeal**
- 3-703 Appeals Board Meeting**
- 3-704 Hearings**

3-701 Appeals Board Members.

Representatives from the following organizations will comprise the STANDARDIZATION and CERTIFICATION Appeals Board (Appeals Board):

- (A) An FDA Regional Food Specialist (other than the involved STANDARD);
- (B) A Retail Food and Interstate Travel Team representative; and
- (C) A Division of Federal / State Relations representative.

3-702 Filing an Appeal.

The CANDIDATE, after being notified of the CANDIDATE'S failure to successfully achieve CERTIFICATION or recERTIFICATION, may appeal the decision. Should the CANDIDATE elect to submit an appeal, this action must be initiated within thirty days of the date of the written notification of the termination, suspension, or revocation.

3-703 Appeals Board Meeting.

Upon receipt of a CANDIDATE's appeal by the FDA, a meeting of the Appeals Board will be held to determine if the argument regarding the failed STANDARDIZATION process is worthy of being heard.

3-704 Hearings.

(A) Preliminary Hearing:

If the appeal is not convincing, the decision of the FDA STANDARD to terminate the field exercise will stand. Should the Appeals Board determine that the CANDIDATE's argument holds merit, the CANDIDATE and the FDA STANDARD shall be notified in writing that a hearing will be held, including a date and time for the hearing.

(B) Hearing Procedure:

At the hearing, the following procedure will be followed:

- (1) The CANDIDATE will present the CANDIDATE'S argument for reversing the STANDARD's decision;
- (2) The Appeals Board will have the opportunity to question the action or conduct of the CANDIDATE and the STANDARD; and
- (3) The Appeals Board will make a decision regarding the FDA STANDARD's decision; the Appeals Board decision will be either to let the decision stand or to consider conducting an additional CERTIFICATION exercise.

Chapter

4 Communication Skills

Part

4-1 APPLICATION

4-1 APPLICATION

Subparts

4-101 Objective

4-102 Introduction

4-103 Interview with the Person in Charge

4-104 Exit Conference

4-101 Objective.

Skillful communication is essential to the inspection process in order to effectuate needed changes by the PERSON IN CHARGE . This chapter highlights the importance of communication skills during an inspection. Activities and responsibilities involved in a retail FOOD inspection program require a person to speak and to listen effectively.

Many different types of communication skills and approaches are necessary and valuable during the inspection process. The CANDIDATE shall be required to take the lead in communicating with industry personnel during all inspections and the STANDARD shall evaluate the CANDIDATE'S communication skills.

4-102 Introduction.

- (A) The CANDIDATE shall be required to make all introductions. A complete introduction consists of:
- (1) Introducing all persons participating in the inspection;
 - (2) Presenting credentials or identification;
 - (3) Describing the purpose and flow of the inspection;
 - (4) Identifying and explaining to the PERSON IN CHARGE that it will be necessary to ask questions about the operation during the inspection; and
 - (5) Explaining that this is not intended as a regulatory inspection and that there will be no written report left at the end of the inspection; however, significant findings will be brought to the attention of the PERSON IN CHARGE.
- (B) In addition to verbal and written communication, the CANDIDATE shall also use the inspection process to communicate and demonstrate FOOD safety concepts by example. Activities such as proper handwashing, SANITIZING thermometers before probing FOODS, and wearing the proper inspection apparel should be used to reinforce spoken and written communications.

4-103 Interview with the Person in Charge.

The CANDIDATE shall conduct a discussion with the PERSON IN CHARGE to determine:

- (A) If a HACCP PLAN exists, and if so, whether the PERSON IN CHARGE understands the principles of the HACCP PLAN and is ensuring that the EMPLOYEES are effectively using the plan;
- (B) What training is provided for EMPLOYEES and managers that is relevant to applying the FOOD CODE INTERVENTIONS and controlling foodborne illness RISK FACTORS;
- (C) What EMPLOYEE health policies are in effect; and

- (D)** What POTENTIALLY HAZARDOUS FOODS are on the menu and what production activities are ongoing at the time of inspection.

4-104 Exit Conference.

At the exit conference, the CANDIDATE shall clearly:

- (A)** Convey and discuss in detail with the PERSON IN CHARGE the inspection findings including:
- (1)** The compliance status of the FOOD ESTABLISHMENT describing each significant violative condition and, where appropriate, acceptable compliance alternatives,
 - (2)** The response and plans of the PERSON IN CHARGE for correcting violations, including a RISK CONTROL PLAN, and
 - (3)** Corrective actions observed during the inspection. Such proactive food safety measures should be commended.
- (B)** Explain the public health significance of the RISK FACTORS and FOOD CODE INTERVENTIONS, GRPs, and the CCPs which do not meet the CLs as established in the Food Code; and
- (C)** Demonstrate the ability to discuss and resolve in a courteous and professional manner, issues that the PERSON IN CHARGE might not agree with or clearly understand.

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

FDA CERTIFICATION NOMINATION FORM

TO: FDA REGIONAL FOOD AND DRUG DIRECTOR
FROM:
SUBJECT: REQUEST FOR FDA CERTIFICATION
DATE:

APPLICANT INFORMATION

Candidate's Name:		Title:	
Office Telephone Number:		Home Telephone Number:	
Office Fax Number:	Office Email Address:	Agency:	
Office Address:	City:	State:	Zip:
Home Address:	City:	State:	Zip:

BACKGROUND INFORMATION

Length of Service With Agency:**Present Duties / Date Assigned:****Prior Retail Experience:****Dates:****Formal Education/ Training Background:**

Continuing Education: (List hours of education with course titles/dates, within the last 2 years) Note: 20 contact hours minimum to qualify for nomination.

Other Prerequisites Completed:

SUPERVISOR'S SIGNATURE (Confirming request for nomination):

NAME (Print): _____

NAME (Signature): _____ **Date:** _____

TITLE: _____

Table of Contents

Home

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

FDA Standardization Inspection Report

FDA Standardization Inspection Report					
Establishment Name:				Type of Facility:	
Physical Address:				Person in Charge:	
City:		State:		Zip:	County:
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:		
Agency:		Standard's Name:		Indicate Person Filling Out Form: (circle one) Candidate's Form / Standard's Form	
Cold Holding Requirement for Jurisdiction: [5 °C (41 °F)_____] or [7 °C (45 °F)_____] or [5 °C (41 °F) and 7 °C (45 °F) combination:_____]					

FOODBORNE ILLNESS INTERVENTIONS AND RISK FACTORS

Food Code Interventions:

Risk Factors:

Demonstration of knowledge		Unsafe food sources
Hands as a vehicle of contamination	-----	Poor personal hygiene
Employee health		Contaminated equipment
Time temperature relationships	-----	Inadequate cooking
Time temperature relationships	-----	Improper holding temperatures
Consumer advisory		

For each item, indicate one of the following for **OBSERVATIONAL STATUS**: IN - Item found in compliance; OUT - Item found out of compliance; N.O. - Not observed; N.A. - Not applicable

The Standard may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standard would alert the Candidate to the missed opportunity.

FOODBORNE ILLNESS INTERVENTIONS AND RISK FACTORS

*Indicates critical items

STATUS

1. DEMONSTRATION OF KNOWLEDGE

IN OUT Code compliance, certified via testing with accredited program, or responses to safety questions regarding operation*

2. EMPLOYEE HEALTH

IN OUT **A.** Management awareness and policy regarding handling employee health situations*

IN OUT **B.** Visible or known symptoms / or known diagnosis dealt with according to Food Code*

3. CONSUMER ADVISORY*

IN OUT NA Inform consumers about the increased risk associated with especially vulnerable consumers when eating animal foods in raw or undercooked form via disclosure and reminder.

4. FOOD FROM APPROVED SOURCE

- IN OUT** **A.** All food from regulated food processing plants / no home prepared or canned foods*
- IN OUT NA** **B.** All shellfish from NSSP listed sources / no recreationally caught shellfish received or sold*
- IN OUT NA** **C.** Game and wild mushrooms approved by regulatory authority*
- IN OUT** **D.** Food received at proper temperatures / protected from contamination during transportation and receiving / safe and unadulterated food*

4. FOOD FROM APPROVED SOURCE

- IN OUT NA** **E.** Shellstock tags retained for 90 days from the date the container is emptied*
- IN OUT NA** **F.** Written documentation of parasite destruction maintained for fish products for 90 days
- IN OUT NA** **G.** CCP monitoring records maintained in accordance with a required HACCP plan*

5. TIME/TEMPERATURE CONTROLS**5.1 Inadequate Cook***

- IN OUT** **A.** Raw eggs broken on request and prepared for immediate service cooked to 63° C (145° F) for 15 seconds. Raw eggs broken, but not prepared for immediate service cooked to 68° C (155° F) for 15 seconds
- NA NO**
- IN OUT NA NO** **B.** Comminuted fish, meat, and game animals cooked to 68° C (155° F) for 15 seconds
- IN OUT NA NO** **C.** Pork roasts and beef roasts, including formed roasts, cooked to 54° C (130° F) for 121 minutes or as chart specified and according to oven parameters per chart
- IN OUT NA NO** **D.** Ratites and injected meats cooked to 68° C (155° F) for 15 seconds
- IN OUT NA NO** **E.** Poultry; stuffed fish/meat/pasta/poultry/ratites; or stuffing containing fish, meat, poultry, or ratites cooked to 74° C (165° F) for 15 seconds
- IN OUT NA NO** **F.** Wild game animals cooked to 74° C (165° F) for 15 seconds
- IN OUT NA NO** **G.** Whole-muscle, intact beef steaks cooked to surface temperature of 63° C (145° F) on top and bottom. Meat surfaces has a cooked color
- IN OUT NA NO** **H.** Raw animal foods rotated, stirred, covered, and heated to 74° C (165° F) in microwave. Food stands for 2 minutes after cooking
- IN OUT NA NO** **I.** All other raw animal foods cooked to 63° C (145° F) for 15 seconds

5.2 Reheating for Hot Holding

- IN OUT NA NO** **A.** PHF rapidly reheated to 74° C (165° F) for 15 seconds*

- IN OUT NA NO B.** Food reheated to 74° C (165° F) or higher in a microwave*
- IN OUT NA NO C.** Commercially processed RTE, if reheated, held at 60° C (140° F) or above*
- IN OUT NA NO D.** Remaining unsliced portions of beef roasts reheated for hot holding using minimum oven parameters*

5.3 *Cooling**

- IN OUT NA NO A.** Cooked PHF cooled from 60° C (140° F) to 21° C (70° F) within 2 hours and from 21° C (70° F) to 7° C / 5° C (45° F / 41° F) or below within 4 hours
- IN OUT NA NO B.** PHF (from ambient temperature ingredients) cooled to 7° C / 5° C (45° F / 41° F) or below within 4 hours
- IN OUT NA NO C.** Foods received at a temperature according to LAW cooled to 7° C / 5° C (45° F / 41° F) within 4 hours

5.4 *PHF Cold & Hot Holding**

- IN OUT A.** PHF maintained at 7° C / 5° C (45° F / 41° F) or below, except during preparation, cooking, cooling or when time is used as a public health control
- IN OUT NA NO B.** PHF maintained at 60° C (140° F) or above, except during preparation, cooking, or cooling or when time is used as a public health control
- IN OUT NA NO C.** Roasts held at a temperature of 54° C (130° F) or above

5.5 *Date Marking & Discarding**

- IN OUT NA NO A.** Date marking for RTE, PHF prepared on-site and opened commercial container held for more than 24 hours
- IN OUT NA NO B.** RTE, PHF / opened commercial container held at ≤ 5° C (41° F) for ≤ 7 days or > 5° C - 7° C (41° F - 45° F) for ≤ 4 days and discard
- IN OUT NA NO C.** If RTE, PHF prepared on-site / opened commercial container is frozen, then:
1) consume within 24 hours of thawing, or 2) indicate time before freezing on label
- IN OUT NA NO D.** If frozen RTE, PHF prepared on-site / frozen opened commercial container is thawed, hold at ≤ 5° C (41° F) for ≤ 7 days minus time from preparation/opening or > 5° C - 7° C (41° F - 45° F) for ≤ 4 days minus the time from preparation/opening and discard

5.6 *Time**

- IN OUT NA NO** When **only** time is used as a public health control, food is cooked and served within 4 hours

6. **FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS***

- IN OUT NA A.** Prepackaged juice/beverage containing juice with a warning label (21 CFR, Section 101.17(g)) not served
- IN OUT NA NO B.** Use pasteurized eggs in recipes if eggs are undercooked; and if eggs are combined unless: cooked to order & immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella* Enteritidis
- IN OUT NA NO C.** Raw or partially cooked animal food and raw seed sprouts not served
- IN OUT NA NO D.** Unopened food package not re-served

7. PROTECTION FROM CONTAMINATION*

- IN OUT NA A.** Separating raw animal foods from raw RTE food and separating raw animal foods from cooked RTE food
- IN OUT NA B.** Raw animal foods separated from each other during storage, preparation, holding, and display
- IN OUT C.** Food protected from environmental contamination – critical items
- IN OUT D.** After being served or sold to a consumer, food is not re-served
- IN OUT E.** Discarding or reconditioning unsafe, adulterated or contaminated food

8. FOOD-CONTACT SURFACES

- IN OUT** Food-contact surfaces and utensils are clean to sight and touch and sanitized before use*

9. PROPER, ADEQUATE HANDWASHING

- IN OUT** Hands clean and properly washed*

10. GOOD HYGIENIC PRACTICES*

- IN OUT** Food employees eat, drink, and use tobacco only in designated areas / do not use a utensil more than once to taste food that is sold or served / do not handle or care for animals present. Food employees experiencing persistent sneezing, coughing, or runny nose do not work with exposed food, clean equipment, utensils, linens, or unwrapped single-service or single-use articles*

11. PREVENTION OF CONTAMINATION FROM HANDS*

- IN OUT** Exposed, RTE food not touched by bare hands*

12. HANDWASH FACILITIES

- IN OUT A.** Handwash facilities conveniently located and accessible for employees*
- IN OUT B.** Handwash facilities supplied with hand cleanser / sanitary towels / hand

drying devices/signage

13. CHEMICAL

- | | |
|------------------|--|
| IN OUT NA | A. No unapproved food or color additives. Sulfites not applied to fresh fruits and vegetables intended for raw consumption* |
| IN OUT | B. Poisonous or toxic materials, chemicals, lubricants, pesticides, medicines, first aid supplies*, and other personal care items properly identified, stored, and used |
| IN OUT NA | C. Poisonous or toxic materials held for retail sale properly stored* |

14. CONFORMANCE WITH APPROVED PROCEDURES*

- | | |
|------------------|---|
| IN OUT NA | Complies with <u>required</u> variance and/or <u>required</u> HACCP procedures by monitoring CCPs and taking necessary corrective actions |
|------------------|---|

SCORE: Number of disagreements for **Interventions/Risk Factors:** _____

GOOD RETAIL PRACTICES (GRPs)

*Indicates items that are always critical according to the FDA Food Code. The item requires immediate attention.

STATUS

PERSONNEL

- | | |
|------------------|---|
| IN OUT NA | 15. Personal Cleanliness (fingernails, jewelry, outer clothing, hair restraints) |
|------------------|---|

FOOD & FOOD PROTECTION

- | | |
|---------------------|--|
| IN OUT | 16. Food source*, original container, properly labeled, condition, used*, honestly presented*, segregated distressed products |
| IN OUT NA NO | 17. Plant food cooking for hot holding |
| IN OUT | 18. Protection from contamination – noncritical items |
| IN OUT | 19. Facilities / equipment to control product temperature |
| IN OUT NA NO | 20. PHF properly thawed |
| IN OUT | 21. Dispensing of food / utensils properly stored |

FOOD EQUIPMENT

- | | |
|---------------|--|
| IN OUT | 22. Thermometers provided and conspicuous |
| IN OUT | 23. Food- and nonfood-contact surfaces: designed / constructed*, maintained, installed, located, operated, cleanable* |
| IN OUT | 24. Warewashing facility: designed, constructed, installed, located, operated, cleanable, used |
| IN OUT | 25. Wiping cloths, linens, napkins, gloves, sponges: properly used, stored |
| IN OUT | 26. Storage, handling of clean equipment, utensils |
| IN OUT | 27. Single-service / single-use articles: storage, dispensing, use, no reuse |

WATER

- | | |
|---------------|--|
| IN OUT | 28. Safe water source*, hot & cold under pressure, adequate quantity* |
|---------------|--|

PLUMBING

- | | |
|---------------|--|
| IN OUT | 29. Installed, maintained* |
| IN OUT | 30. Cross connection*, back siphonage, backflow prevention* |

TOILET FACILITIES

- | | |
|---------------|---|
| IN OUT | 31. Number, convenient, accessible, designed, installed |
| IN OUT | 32. Toilet rooms enclosed, self-closing doors; fixtures, good repair, clean proper waste receptacles |

SEWAGE

- | | |
|---------------|---|
| IN OUT | 33. Sewage and waste water disposal* |
|---------------|---|

GARBAGE & REFUSE DISPOSAL

- | | |
|---------------|---|
| IN OUT | 34. Containers or receptacles: covered, adequate number, insect / rodent proof, frequency of removal, clean. Area properly constructed, necessary implements, supplies |
|---------------|---|

PHYSICAL FACILITY

- | | |
|---------------|--|
| IN OUT | 35. Floors, walls, ceilings: designed, constructed, maintained, clean |
|---------------|--|

- IN OUT** 36. Lighting, ventilation, dressing rooms / designated areas maintained
- IN OUT** 37. Premises maintained free of litter, unnecessary articles, cleaning and maintenance equipment properly stored
- IN OUT** 38. Complete separation from living / sleeping quarters; laundry

PEST & ANIMAL CONTROL

- IN OUT** 39. Presence of insects / rodents minimized: outer openings protected, animals as allowed

SPECIALIZED PROCESSING METHODS

- IN OUT NA** 40. Variance for smoking for preservation, curing, brewing alcoholic beverages, using additives as preservatives, or using reduced oxygen to package food

SCORE: Number of disagreements for **Good Retail Practices:** _____

ABBREVIATIONS	
"CCP"	Critical Control Point
"CL"	Critical Limit
"GRP"	Good Retail Practice
"HACCP"	Hazard Analysis Critical Control Point
"HSP"	Highly Susceptible Population
"NSSP"	National Shellfish Sanitation Program
"PHF"	Potentially Hazardous Food
"RTE"	Ready-to-Eat
"RCP"	Risk Control Plan

Table of Contents

[Home](#)

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

1999 FOOD CODE REFERENCE SHEET FDA STANDARDIZATION INSPECTION REPORT

FOODBORNE ILLNESS INTERVENTIONS & RISK FACTORS

1. DEMONSTRATION OF KNOWLEDGE

- | | |
|----------|------------------------------|
| 2-101.11 | Assignment - responsibility* |
| 2-102.11 | Demonstration - knowledge* |
| 2-103.11 | Person in charge - duties |

2. EMPLOYEE HEALTH

- | | |
|----------|---|
| 2-201.11 | Responsibility of the person in charge to require reporting by food employees and applicants* |
| 2-201.12 | Exclusions and restrictions* |
| 2-201.13 | Removal of exclusions and restrictions |
| 2-201.14 | Responsibility of a food employee or an applicant to report to the person in charge* |
| 2-201.15 | Reporting by the person in charge* |

3. CONSUMER ADVISORY*

3-603.11 Consumption of animal foods that are raw, undercooked, or not otherwise processed to eliminate pathogens*

4. FOOD FROM APPROVED SOURCE**A. All food from regulated food processing plants/ no home prepared or canned foods***

3-201.11 Compliance with food law*

3-201.12 Food in a hermetically sealed container*

3-201.13 Fluid milk and milk products*

3-202.13 Shell eggs*

3-202.14 Eggs and milk products, pasteurized*

5-101.13 Bottled drinking water*

B. All shellfish from NSSP listed sources/ no recreationally caught shellfish received or sold*

3-201.14 Fish*

3-201.15 Molluscan shellfish*

3-202.18 Shellstock identification*

C. Game and wild mushrooms approved by regulatory authority*

3-201.16 Wild mushrooms*

3-201.17 Game animals*

D. Food received at proper temperatures / protected from contamination during transportation and receiving / safe and unadulterated food*

3-202.11 Temperature*

3-202.15 Package integrity*

3-101.11 Safe, unadulterated, and honestly presented*

E. Shellstock tags retained for 90 days from the date the container is emptied*

3-202.18 Shellstock identification*

3-203.12 Shellstock, maintaining identification*

F. Written documentation of parasite destruction maintained for fish products for 90 days

3-402.11 Parasite destruction*

3-402.12 Records, creation and retention

G. CCP monitoring records maintained in accordance with a required HACCP plan*

3-502.12 Reduced oxygen packaging, criteria*

5. TIME / TEMPERATURE CONTROLS**5.1 *Inadequate Cook******A. Raw eggs broken on request and prepared for immediate service, cooked to 63 °C (145 °F) for 15 seconds. Raw eggs broken, but not prepared for immediate service, cooked to 68 °C (155 °F) for 15 seconds**

3-401.11(A)(1)(2) Raw animal foods*

B. Comminuted fish, meats, and game animals cooked 68 °C (155 °F) for 15 seconds

3-401.11(A)(2) Raw animal foods*

C. Pork roasts and beef roasts, including formed roasts, cooked to 54 °C (130 °F) for 121 minutes or as chart specified and according to oven parameters per chart

3-401.11(B)(1)(2) Raw animal foods*

D. Ratites, and injected meats cooked to 68 °C (155 °F) for 15 seconds

3-401.11(A)(2) Raw animal foods*

E. Poultry; stuffed fish/meat/pasta/poultry/ratites; or stuffing containing fish, meat, poultry, or ratites cooked to 74 °C (165 °F) for 15 seconds

3-401.11(A)(3) Raw animal foods*

F. Wild game animals cooked to 74 °C (165 °F) for 15 seconds

3-401.11(A)(3) Raw animal foods*

G. Whole-muscle, intact beef steaks cooked to surface temperature of 63 °C (145 °F) on top and bottom. Meat surfaces has a cooked color

3-401.11(C)(3) Raw animal foods*

H. Raw animal foods rotated, stirred, covered, and heated to 74 °C (165 °F) in microwave. Food stands covered for 2 minutes after cooking

3-401.12 Microwave cooking*

I. All other raw animal foods cooked to 63 °C (145 °F) for 15 seconds

3-401.11(A)(1)(b) Raw animal foods*

5.2 Reheating for Hot Holding*

A. PHF rapidly reheated to 74 °C (165 °F) for 15 seconds or preparation for immediate service

3-403.10 Preparation for immediate service

3-403.11(A)&(D) Reheating for hot holding*

B. Food reheated to 74 °C (165 ° F) or higher in a microwave

3-403.11(B) Reheating for hot holding*

C. Commercially processed RTE food, if reheated, held at 60 °C (140 °F) or above

3-403.11(C) Reheating for hot holding*

D. Remaining unsliced portions of beef roasts reheated for hot holding using minimum oven parameters

3-403.11(E) Reheating for hot holding*

5.3 Cooling*

A. Cooked PHF cooled from 60 °C(140 °F) to 21 °C (70 °F) within 2 hours and from 21 °C (70 °F) to 7 °C / 5 °C (45 °F / 41 °F) or below within 4 hours

3-501.14(A) Cooling*

B. PHF (from ambient temperature ingredients) cooled to 7 °C / 5 °C (45 °F / 41 ° F) or below within 4 hours

3-501.14(B) Cooling*

C. Foods received at a temperature according to law cooled to 7 °C / 5 °C (45 °F / 41 ° F) within 4 hours

3-501.14(C) Cooling*

5.4 PHF Cold & Hot Holding*

A. PHF maintained at 7 °C / 5 ° C (45 °F / 41 °F) or below, except during preparation, cooking, cooling or when time is used as a public health control

3-501.16(B) PHF, hot and cold holding*

- B. PHF maintained at 60 °C (140 °F) or above, except during preparation, cooking, or cooling or when time is used as a public health control**

3-501.16(A) PHF, hot and cold holding*

- C. Roasts held at a temperature of 54 °C (130 °F) or above**

3-501.16(A) PHF, hot and cold holding*

5.5 Date Marking & Discarding*

- A. Date marking for RTE, PHF prepared on site or opened commercial container held for more than 24 hours**

3-501.17 RTE, PHF, date marking*

- B. RTE, PHF opened commercial container held at ≤ 5 °C (≤ 41 °F) for ≤ 7 days or > 5 °C - 7 °C (41 °F - 45 °F) for ≤ 4 days or discard**

3-501.18 RTE, PHF, disposition*

- C. If RTE, PHF prepared on site / opened commercial container is frozen, then: 1) consume within 24 hours of thawing, or 2) indicate time before freezing on label**

3-501.17 RTE, PHF, date marking*

- D. If frozen RTE, PHF prepared on-site / frozen opened commercial container is thawed, hold at ≤ 5 °C (41 °F) for ≤ 7 days minus time from preparation / opening or > 5 °C - 7 °C (41 °F - 45 °F) for ≤ 4 days minus time from preparation/opening and discard**

3-501.17 RTE, PHF, date marking*

3-501.18 RTE, PHF, disposition*

5.6 Time*

Time as a Public Health Control*

3-501.19 Time as a public health control*

6. FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS*

- A. Prepackaged juice/beverage containing juice with a warning label (21 CFR, Section 101.17(g)) not served**

3.801.11(A) Pasteurized foods, prohibited reservice, and prohibited food*

- B. Use pasteurized eggs in recipes if eggs are undercooked; and if eggs are combined**

unless: cooked to order & immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella* Enteritidis

3-801.11(B)&(E) Pasteurized foods, prohibited reservice, and prohibited food*

C. Raw or partially cooked animal food and raw seed sprouts not served

3-801.11(D) Pasteurized foods, prohibited reservice, and prohibited food*

D. Unopened food package not re-served

3-801.11(C) Pasteurized foods, prohibited reservice, and prohibited food*

7. PROTECTION FROM CONTAMINATION*

A. Separating raw animal foods from RTE food and separating raw animal foods from cooked RTE food

3-302.11(A)(1) Packaged & unpackaged food - separation, packaging, & segregation*

B. Raw animal foods separated from each other during storage, preparation, holding, and display

3-302.11(A)(2) Packaged & unpackaged food - separation, packaging, & segregation*

C. Food protected from contamination -- critical items

3-302.11(A) Packaged & unpackaged food - separation, packaging, & segregation*

3-306.13 Consumer self-service operations*

3-304.11 Food contact with equipment and utensils*

D. After being served or sold to a consumer, food is not re-served

3-306.14(A)(B) Returned food and reservice of food*

E. Discarding or reconditioning unsafe, adulterated or contaminated food*

3-701.11 Discarding or reconditioning unsafe, adulterated or contaminated food*

8. FOOD-CONTACT SURFACES

4-501.111 Manual warewashing equipment, hot water sanitization

temperatures*

4-501.112	Mechanical warewashing equipment, hot water sanitization temperatures
4-501.113	Mechanical warewashing equipment, sanitization pressure
4-501.114	Manual and mechanical warewashing equipment, chemical sanitization - temperature, pH, concentration, and hardness*
4-501.115	Manual warewashing equipment, chemical sanitization using detergent - sanitizers
4-601.11(A)	Equipment, food-contact surfaces, nonfood-contact surfaces, and utensils*
4-602.11	Equipment food-contact surfaces and utensils*
4-602.12	Cooking and baking equipment
4-701.10	Sanitization of equipment and utensils - food-contact surfaces and utensils
4-702.11	Sanitization of equipment and utensils - before use after cleaning - frequency*
4-703.11	Hot water and chemical*

9. PROPER, ADEQUATE HANDWASHING

2-301.11	Clean condition - hands and arms*
2-301.12	Cleaning procedure*
2-301.14	When to wash*
2-301.15	Where to wash
2-301.16	Hand sanitizers

10. GOOD HYGIENIC PRACTICES*

2-401.11	Eating, drinking, or using tobacco*
2-401.12	Discharges from the eyes, nose and mouth*
3-301.12	Preventing contamination when tasting*

11. PREVENTION OF CONTAMINATION FROM HANDS*

3-301.11 Preventing contamination from hands*

12. HANDWASH FACILITIES**A. Handwash facilities conveniently located and accessible for employees***

5-203.11 Handwashing facilities - numbers and capacities*

5-204.11 Handwashing facilities - location and placement*

5-205.11 Using a handwashing facility - operation and maintenance

6-301.10 Minimum number

6-501.18 Maintaining and using handwashing facilities

B. Handwash facilities supplied with hand cleanser / sanitary towels / hand drying devices

6-301.11 Hand washing cleanser, availability

6-301.12 Hand drying provision

6-301.13 Handwashing aids and devices, use restrictions

6-301.14 Handwashing signage

13. CHEMICAL**A. No unapproved food or color additives. Sulfites are not applied to fresh fruits and vegetables intended for raw consumption***

3-202.12 Additives*

3-302.14 Protection from unapproved additives*

B. Poisonous or toxic materials, chemicals, lubricants, pesticides, medicines, first aid supplies*, and other personal care items properly identified, stored and used

7-207.12 Refrigerated medicines, storage*

7-208.11 Storage - first aid supplies*

7-209.11 Storage - other personal care items

Stock and retail sale of poisonous or toxic material

7-101.11 Identifying information, prominence - original containers*

7-102.11 Common name - working containers*

Operational supplies and applications

7-201.11 Separation - storage*

7-202.11 Restriction - presence and use*

7-202.12 Conditions of use*

7-203.11 Poisonous or toxic material containers - prohibitions*

7-204.11 Sanitizers, criteria - chemicals*

7-204.12 Chemicals for washing fruits and vegetables, criteria*

7-204.13 Boiler water additives, criteria*

7-204.14 Drying agents, criteria*

7-205.11 Incidental food contact, criteria - lubricants*

7-206.11 Restricted use pesticides, criteria*

7-206.12 Rodent bait stations*

7-206.13 Tracking powders, pest control and monitoring*

7-207.11 Restriction and storage - medicines*

C. Poisonous or toxic materials held for retail sale properly stored*

7-301.11 Separation - storage and display (Separation is to be by spacing or partitioning)*

14. CONFORMANCE WITH APPROVED PROCEDURES*

8-103.12 Conformance with approved procedures*

GOOD RETAIL PRACTICES

PERSONNEL

15. PERSONNEL CLEANLINESS (FINGERNAILS, JEWELRY, OUTER CLOTHING, HAIR RESTRAINTS)

2-302.11 Maintenance - fingernails

2-303.11	Prohibition - jewelry
2-304.11	Clean condition - outer clothing
2-402.11	Effectiveness - hair restraints

FOOD & FOOD PROTECTION

16. FOOD SOURCE*, ORIGINAL CONTAINER, PROPERLY LABELED, CONDITION, USED*, HONESTLY PRESENTED*, SEGREGATED DISTRESSED PRODUCTS

3-202.16	Ice*
3-202.17	Shucked shellfish, packaging and identification
3-202.19	Shellstock, condition
3-203.11	Molluscan shellfish, original container
3-302.12	Food storage containers, identified with common name of food
3-302.13	Pasteurized eggs, substitute for raw shell eggs for certain recipes*
3-305.13	Vended potentially hazardous food, original container
3-501.11	Frozen food
3-601.11	Standards of identity
3-601.12	Honestly presented
3-602.11	Food labels
3-602.12	Other forms of information
6-404.11	Segregation and location - distressed merchandise

17. PLANT FOOD COOKING FOR HOT HOLDING

3-401.13	Plant food cooking for hot holding
----------	------------------------------------

18. PROTECTION FROM CONTAMINATION -- noncritical items

3-302.15	Washing fruits and vegetables
3-303.11	Ice used as exterior coolant, prohibited as ingredient
3-303.12	Storage or display of food in contact with water or ice

3-304.13	Linens and napkins, use limitation
3-305.11	Food storage
3-305.12	Food storage, prohibited areas
3-305.14	Food preparation
3-306.11	Food display
3-306.12	Condiments, protection
3-307.11	Miscellaneous sources of contamination

19. FACILITIES / EQUIPMENT TO CONTROL PRODUCT TEMPERATURE

3-501.15	Cooling methods
4-301.11	Cooling, heating, and holding capacities - equipment

20. PHF PROPERLY THAWED

3-501.12	Potentially hazardous food, slacking
3-501.13	Thawing

21. DISPENSING OF FOOD / UTENSILS PROPERLY STORED

3-304.12	In-use utensils, between-use storage
4-204.13	Dispensing equipment, protection of equipment and food
4-204.14	Vending machine, vending stage closure

FOOD EQUIPMENT

22. THERMOMETERS PROVIDED AND CONSPICUOUS

4-203.11	Temperature measuring devices, food - accuracy
4-203.12	Temperature measuring devices, ambient air and water - accuracy
4-204.112	Temperature measuring devices - functionality
4-302.12	Food temperature measuring devices - numbers

23. FOOD- AND NONFOOD-CONTACT SURFACES: DESIGNED / CONSTRUCTED*, MAINTAINED, INSTALLED, LOCATED, OPERATED, CLEANABLE*

3-304.16	Using clean tableware for second portions and refills
3-304.17	Refilling returnables
4-101.11	Characteristics*
4-101.12	Cast iron, use limitation
4-101.13	Lead in ceramic, china, and crystal utensils, use limitation
4-101.14	Copper, use limitation*
4-101.15	Galvanized metal, use limitation*
4-101.17	Lead in pewter alloys, use limitation
4-101.18	Lead in solder and flux, use limitation
4-101.19	Wood, use limitation
4-101.110	Nonstick coatings, use limitation
4-101.111	Nonfood-contact surfaces
4-102.11	Characteristics – single-service / single-use*
4-201.11	Equipment and utensils - durability and strength
4-201.12	Food temperature measuring devices - durability and strength*
4-202.11	Food-contact surfaces - cleanability*
4-202.12	CIP equipment - cleanability
4-202.13	"V" threads, use limitation
4-402.14	Hot oil filtering equipment
4-202.15	Can openers
4-202.16	Nonfood-contact surfaces
4-202.17	Kick plates, removable
4-204.12	Equipment openings, closures and deflectors - functionality
4-204.15	Bearings and gear boxes, leakproof
4-204.16	Beverage tubing, separation
4-204.17	Ice units, separation of drains

4-204.18	Condenser unit, separation
4-204.19	Can openers on vending machines
4-204.110	Molluscan shellfish tanks
4-204.111	Vending machines, automatic shutoff*
4-204.121	Vending machines, liquid waste products
4-204.122	Case lot handling equipment, moveability
4-204.123	Vending machine doors and openings
4-205.10	Food equipment, certification and classification -- NONDEBITABLE ITEM
4-302.11	Utensils, consumer self-service
4-401.11	Equipment, clothes washers and dryers, and storage cabinets, contamination, prevention
4-402.11	Fixed equipment, spacing or sealing – installation
4-402.12	Fixed equipment, elevation or sealing – installation
4-501.11	Good repair and proper adjustment – equipment
4-501.12	Cutting surfaces
4-501.13	Microwave ovens
4-502.11	Good repair and calibration - utensils, temperature/pressure devices
4-601.11(B)(C)	Equipment, food-contact surfaces, nonfood-contact surfaces, and utensils

**23. FOOD- AND NONFOOD-CONTACT SURFACES: DESIGNED / CONSTRUCTED*,
MAINTAINED, INSTALLED, LOCATED, OPERATED, CLEANABLE***

4-602.13	Nonfood-contact surfaces
4-603.11	Dry cleaning – methods
4-603.17	Returnables, cleaning for refilling*
4-902.11	Food-contact surfaces - lubricating and reassembling
4-902.12	Equipment - lubricating and reassembling

24. WAREWASHING FACILITY; DESIGNED, CONSTRUCTED, INSTALLED, LOCATED, OPERATED, CLEANABLE, USED

4-203.13	Pressure measuring devices, mechanical warewashing equipment
4-204.113	Warewashing machine, data plate operation specifications
4-204.114	Warewashing machines, internal baffles
4-204.115	Warewashing machines, temperature measuring devices
4-204.116	Manual warewashing equipment, heaters and baskets
4-204.117	Warewashing machines, sanitizer level indicator
4-204.118	Warewashing machines, flow pressure device
4-204.119	Warewashing sinks and drainboards, self-draining
4-204.120	Equipment compartments, drainage
4-301.12	Manual warewashing, sink compartment requirements
4-301.13	Drainboards
4-302.13	Temperature measuring devices, manual warewashing
4-302.14	Sanitizing solutions, testing devices
4-501.14	Warewashing equipment, cleaning frequency
4-501.15	Warewashing machines, manufacturers' operation instructions
4-501.16	Warewashing sinks, use limitation
4-501.17	Warewashing equipment, cleaning agents
4-501.18	Warewashing equipment, clean solutions
4-501.19	Manual warewashing equipment, wash solution temperature
4-501.110	Mechanical warewashing equipment, wash solution temperature
4-501.116	Warewashing equipment, determining chemical sanitizer concentration
4-603.12	Precleaning
4-603.13	Loading of soiled items, warewashing machines

- 4-603.14 Wet cleaning
- 4-603.15 Washing, procedures for alternative manual warewashing equipment
- 4-603.16 Rinsing procedures

25. Wiping cloths, linens, napkins, gloves, sponges: properly used, stored

- 3-304.13 Linens and napkins, use limitation
- 3-304.14 Wiping cloths, use limitations - used for one purpose
- 3-304.15 Gloves, use limitations
- 4-101.16 Sponges, use limitation
- 4-801.11 Clean linens
- 4-802.11 Specifications - frequency of laundering
- 4-803.11 Storage of soiled linens - methods
- 4-803.12 Mechanical washing
- 4-901.12 Wiping cloths, air-drying locations
- 4-903.11 Equipment, utensils, linens, and single-service, single-use articles - storing
- 4-903.12 Prohibitions - storing

26. STORAGE, HANDLING OF CLEAN EQUIPMENT, UTENSILS

- 4-901.11 Equipment and utensils, air-drying required
- 4-903.11 Equipment, utensils & linens - storage
- 4-903.12 Prohibitions - storing
- 4-904.11 Kitchenware and tableware - handling
- 4-904.12 Soiled and clean tableware - handling
- 4-904.13 Preset tableware - handling

27. SINGLE-SERVICE / SINGLE-USE ARTICLES: STORAGE, DISPENSING, USE, NO REUSE

- 4-502.12 Single-service and single-use articles, required use*

4-502.13	Single-service and single-use articles, use limitation
4-502.14	Shells, use limitation
4-903.11	Single-service & single-use articles - storage
4-903.12	Prohibitions
4-904.11	Kitchenware and tableware

WATER

28. SAFE WATER SOURCE*, HOT & COLD UNDER PRESSURE, ADEQUATE QUANTITY*

5-101.11	Approved system*
5-102.11	Standards - quality*
5-102.12	Nondrinking water*
5-102.13	Sampling
5-102.14	Sample report
5-103.11	Capacity - quality & availability *
5-103.12	Pressure
5-104.11	System
5-104.12	Alternative water supply
5-104.12	Alternative water supply

PLUMBING

29. INSTALLED, MAINTAINED*

5-101.12	System flushing and disinfection*
5-201.11	Approved - materials*
5-202.11	Approved system and cleanable fixtures*
5-202.12	Handwashing facility, installation - water temperature, and flow
5-202.15	Conditioning device, design

5-203.13	Service sink
5-204.13	Conditioning device, location
5-205.13	Scheduling inspection and service for a water system device
5-205.14	Water reservoir of fogging devices, cleaning*
5-205.15	System maintained in good repair*
5-301.11	Approved - materials for mobile water tank
5-302.11	Enclosed system, sloped to drain
5-302.12	Inspection and cleaning port, protected and secured
5-302.13	"V" type threads, use limitation
5-302.14	Tank vent, protected
5-302.15	Inlet and outlet, sloped to drain
5-302.16	Hose, construction and identification
5-303.11	Filter, compressed air
5-303.12	Protective cover or device
5-303.13	Mobile food establishment tank inlet
5-304.11	System flushing and disinfection*
5-304.12	Using a pump and hoses, backflow prevention
5-304.13	Protecting inlet, outlet, and hose fitting.
5-304.14	Tank, pump, and hoses, dedication

30. CROSS CONNECTION*, BACK SIPHONAGE, BACKFLOW PREVENTION*

5-202.13	Backflow prevention, air gap*
5-202.14	Backflow prevention device, design standard
5-203.14	Backflow prevention device, when required*
5-204.12	Backflow prevention device, location
5-205.12	Prohibiting a cross connection*

TOILET FACILITIES

31. NUMBER, CONVENIENT, ACCESSIBLE, DESIGNED, INSTALLED

5-203.12	Toilets and urinals*
6-302.10	Minimum number - toilets and urinals
6-402.11	Convenience and accessibility

32. TOILET ROOMS ENCLOSED, SELF-CLOSING DOORS; FIXTURES, GOOD REPAIR, CLEAN, PROPER WASTE RECEPTACLES

5-501.17	Toilet room receptacle, covered
6-202.14	Toilet rooms, enclosed
6-301.20	Disposable towels, waste receptacle
6-302.11	Toilet tissue, availability
6-501.19	Closing toilet room doors

SEWAGE

33. SEWAGE AND WASTE WATER DISPOSAL*

5-401.11	Capacity and drainage
5-402.10	Establishment drainage system
5-402.11	Backflow prevention*
5-402.12	Grease trap
5-402.13	Conveying sewage*
5-402.14	Removing mobile food establishment wastes
5-402.15	Flushing a waste retention tank
5-403.11	Approved sewage disposal system*
5-403.12	Other liquid wastes and rainwater

GARBAGE & REFUSE DISPOSAL

34. CONTAINERS OR RECEPTACLES: COVERED, ADEQUATE NUMBER, INSECT/RODENT PROOF, FREQUENCY OF REMOVAL, CLEAN. AREA PROPERLY CONSTRUCTED, NECESSARY IMPLEMENTS, SUPPLIES

5-501.10	Indoor storage area
5-501.11	Outdoor storage surface
5-501.12	Outdoor enclosure
5-501.13	Receptacles
5-501.14	Receptacles in vending machines
5-501.15	Outside receptacles
5-501.16	Storage areas, rooms, and receptacles, capacity and availability
5-501.18	Cleaning implements and supplies
5-501.19	Storage areas, redeeming machines, receptacles and waste handling units, location
5-501.110	Storing refuse, recyclables, and returnables
5-501.111	Areas, enclosures, and receptacles, good repair
5-501.112	Outside storage prohibitions
5-501.113	Covering receptacles
5-501.114	Using drain plugs
5-501.115	Maintaining refuse areas and enclosures
5-501.116	Cleaning receptacles
5-502.11	Frequency - removal
5-502.12	Receptacles or vehicles
5-503.11	Community or individual facility
6-202.110	Outdoor refuse areas, curbed and graded to drain
6-405.10	Receptacles, waste handling units, and designated storage areas

PHYSICAL FACILITY

35. FLOORS, WALLS, CEILINGS: DESIGNED, CONSTRUCTED, MAINTAINED, CLEAN

6-101.11	Surface characteristics - indoor areas
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6-102.11	Surface characteristics - outdoor areas
6-201.11	Floors, walls, ceilings - cleanability
6-201.12	Floors, walls, and ceilings, utility lines
6-201.13	Floor and wall junctures, covered, and enclosed or sealed
6-201.14	Floor carpeting, restrictions and installation
6-201.15	Floor covering, mats and duckboards
6-201.16	Wall and ceiling coverings and coatings
6-201.17	Walls and ceiling, attachments
6-201.18	Walls and ceilings, studs, joists, and rafters
6-202.17	Outdoor food vending areas, overhead protection
6-202.18	Outdoor servicing areas, overhead protection
6-501.11	Repairing
6-501.12	Cleaning, frequency and restrictions
6-501.13	Cleaning floors, dustless methods
6-501.17	Absorbent materials on floors, use limitations

36. LIGHTING, VENTILATION, DRESSING ROOMS / DESIGNATED AREAS MAINTAINED

4.202.18	Ventilation hood systems, filters
4-204.11	Ventilation hood systems, drip prevention
4-301.14	Ventilation hood systems, adequacy
6-202.11	Light bulbs, protective shielding
6-202.12	Heating, ventilation, air conditions system vents
6-303.11	Intensity – lighting
6-304.11	Mechanical - ventilation
6-305.11	Designation - dressing areas and lockers
6-403.11	Designated areas - employee accommodations

6-501.14 Cleaning ventilation systems, nuisance and discharge prohibition

6-501.110 Using dressing rooms and lockers

37. PREMISES MAINTAINED FREE OF LITTER, UNNECESSARY ARTICLES, CLEANING AND MAINTENANCE EQUIPMENT PROPERLY STORED

6-201.11 Floors, walls, and ceilings - cleanability

6-202.19 Outdoor walking and driving surfaces, graded to drain

6-306.10 Availability - service sinks

6-501.15 Cleaning maintenance tools, preventing contamination*

6-501.16 Drying mops

6-501.113 Storing maintenance tools

6-501.114 Maintaining premises, unnecessary items and litter

38. COMPLETE SEPARATION FROM LIVING / SLEEPING QUARTERS; LAUNDRY

4-301.15 Clothes washers and dryers

4-401.11(C) Equipment, clothes washers and dryers, and storage cabinets, contamination prevention

4-803.13 Use of laundry facilities

6-202.111 Private homes and living or sleeping quarters, use prohibition

6-202.112 Living or sleeping quarters, separation

PEST & ANIMAL CONTROL

39. PRESENCE OF INSECTS / RODENTS MINIMIZED: OUTER OPENINGS PROTECTED, ANIMALS AS ALLOWED

2-403.11 Handling prohibition - animals*

6-202.13 Insect control devices, design and installation

6-202.15 Outer openings, protected

6-202.16 Exterior walls and roofs, protective barrier

6-501.111 Controlling pests*

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

Report Marking Instructions

Report Marking Instructions				
FDA STANDARDIZATION INSPECTION REPORT				
Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:	State:	Zip:	County:	
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:	
Agency:	Standard's Name:	Indicate Person Filling Out Form: (<i>circle one</i>) Candidate's Form / Standard's Form		
Cold Holding Requirement for Jurisdiction: [5° C (41° F)_____] or [7° C (45° F)_____] or [5° C (41° F) and 7° C (45° F) combination:_____]				

For each item, indicate one of the following for **OBSERVATIONAL STATUS**: IN - Item found in compliance; OUT - Item found out of compliance; N.O. - Not observed; N.A. - Not applicable

The Standard may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standard would alert the Candidate to the missed opportunity.

*Indicates critical items

FOODBORNE ILLNESS INTERVENTIONS AND RISK FACTORS

STATUS

1. DEMONSTRATION OF KNOWLEDGE

IN/ OUT

This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. The person in charge has three options for demonstrating knowledge. Inability to meet at least ONE of those options constitutes OUT of compliance.

Three options for demonstration of knowledge are allowed by the Code. Compliance with any ONE of the following options is sufficient for a finding of "IN COMPLIANCE" with this item:

1. Certification by an ACCREDITED PROGRAM (see NOTE below)

2. Operation of the facility in compliance with the Code. The effectiveness of the person in charge in protecting the health of the consumer is evidenced by the person's ability to apply the required knowledge to the establishment's operations by designing and implementing procedures that ensure continued compliance with the Code. For the purposes of this Procedure, compliance with the Code means there are no critical items in violation, or if there are critical items violated, the PIC demonstrates knowledge by immediately taking action or making arrangements to correct the violation. The emphasis has to be made on the PIC having knowledge. For example, a critical item that is violated because the landlord failed to make a repair should not be marked against the PIC if he/she demonstrates knowledge of the violation and has made efforts to have it repaired. It is still a FC violation, but not a failure of demo of knowledge. The Candidate must determine that a critical item violation is due to lack of knowledge, not lack of willingness.

3. Correct responses to the inspector's questions regarding public health practices and principles. The candidate should assess this item by asking open-ended questions that would evaluate the PIC's knowledge in the areas enumerated in Section 2-102.11, paragraphs A through O. Questions can be asked during the initial interview, menu review, or throughout the inspection exercise as appropriate. The Candidate should ask a sufficient number of questions to enable him/her to make an informed decision concerning the PIC's knowledge of the Code requirements and public health principles. The dialogue should be extensive enough to reveal whether or not that person is enabled by a clear understanding of the Code and its public health principles to follow sound food safety practices and to produce foods that are safe, wholesome, unadulterated, and accurately represented.

N.A. **Do Not Mark** This Item N.A.

N.O. **Do Not Mark** This Item N.O.

NOTE: *The FDA is currently working with a Conference for Food Protection (CFP) committee (comprised of stakeholder representatives) in developing accreditation standards for Food Protection Managers Certification. Beginning March 1, 1999 the Conference, in conjunction with*

the Buros Institute implemented a process for recognizing food protection manager certification exams that meet standards for reliability, validity, and legal defensibility.

For the purposes of this Procedure, during the interim period before the CFP has selected a third party accreditor to implement a full accredited program based on the "Standards for Accreditation of Food Protection Managers," all tests listed by the Buros Institute and recognized by the CFP are acceptable as meeting the requirement for demonstration of knowledge. The listed tests are found on the internet at <http://www.unl.edu/buros/> and the CFP web site <http://www.uark.edu/misc/cfpncims>.

2. EMPLOYEE HEALTH

A. Management awareness and policy re: handling employee health situations*

IN/ OUT This item may be marked IN or OUT of compliance. To be IN compliance, the person-in-charge must:

1. Be aware of the Food Code provision that employees or applicants who have received a conditional offer of employment are required to report certain symptoms or diagnosed illnesses to the person-in-charge, AND
2. Convey knowledge of an employee health policy OR have access to an employee health policy (not necessarily written) stating what actions are necessary following a report that an employee has a certain symptom or diagnosed illness.

The policy must reflect the current Food Code provisions. Verbal communication of the employee health policy must be specific to the types of illnesses and symptoms that require reporting. Nonspecific statements such as, "sick or ill employees are not allowed to work," are not acceptable as meeting this requirement.

If OUT of compliance, make appropriate notes on reason(s) for noncompliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

B. Visible or known symptoms / or known diagnoses dealt with according to the Food Code*

IN/ OUT This item must be marked IN or OUT of compliance. To be IN compliance, Item 2A must be determined to be IN compliance AND the Candidate determines during the inspection that no employees are ill or are experiencing symptoms that require reporting by the employee or action by the person-in-charge.

If OUT of compliance make notes as to why it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

3. CONSUMER ADVISORY*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as in the circumstance where a food establishment does not serve a ready-to-eat food that necessitates an advisory, i.e., an animal food that is raw, undercooked, or not otherwise processed to eliminate pathogens.
- N.O.** **Do Not Mark This Item N.O.**

4. FOOD FROM APPROVED SOURCE

A. All food from regulated food processing plants / no home prepared or canned foods*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark This Item N.A.**
- N.O.** **Do Not Mark This Item N.O.**

B. All shellfish from NSSP listed sources / no recreationally caught shellfish received or sold*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. if shellstock are not used in the establishment.
- N.O.** **Do Not Mark This Item N.O.**

C. Game and wild mushrooms approved by regulatory authority*

- IN/ OUT** This item should be marked IN or OUT of compliance with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when no game or wild mushrooms are offered at the establishment.
- N.O.** **Do Not Mark This Item N.O.**

D. Food received at proper temperatures / protected from contamination during transportation and receiving / safe and unadulterated food*

- IN/ OUT** This item may be marked IN or OUT of compliance on any one of the listed items.

If the food is safe and unadulterated, but you are not able to check any temperatures of food during receiving or are not able to determine the condition of foods transported, mark the item IN compliance with an explanation on the lines below as to what the IN represents.

If one or all of the listed items are OUT of compliance, make appropriate notes as to why the item is marked out of compliance.

- 6-501.112 Removing dead or trapped birds, insects, rodents, and other pests
- 6-501.115 Prohibiting animals*

SPECIALIZED PROCESSING METHODS

40. VARIANCE FOR SMOKING FOR PRESERVATION, CURING, BREWING ALCOHOLIC BEVERAGES, USING ADDITIVES AS PRESERVATIVES, OR USING REDUCED OXYGEN TO PACKAGE FOOD

- 3-502.11 Variance requirement*

ABBREVIATIONS	
"CCP"	Critical Control Point
"CL"	Critical Limit
"GRP"	Good Retail Practice
"HACCP"	Hazard Analysis Critical Control Point
"HSP"	Highly Susceptible Population
"NSSP"	National Shellfish Sanitation Program
"PHF"	Potentially Hazardous Food
"RTE"	Ready-to-Eat
"RCP"	Risk Control Plan

Table of Contents

[Home](#)

Hypertext updated by ces/ear 2000-AUG-23

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

E. Shellstock tags retained for 90 days from the date the container is emptied*

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. such as when shellstock are not used in the establishment.

N.O. Do Not Mark This Item N.O.

4. FOOD FROM APPROVED SOURCE

F. Written documentation of parasite destruction maintained for fish products for 90 days

IN/ OUT This item may be marked IN or OUT of compliance with notes made concerning the reason if it is marked OUT of compliance

N.A. This item may be marked N.A. such as when raw, raw-marinated, or partially cooked fish (excluding tuna species listed in the Code) are not used in the establishment.

N.O. Do Not Mark This Item N.O.

G. CCP monitoring records maintained in accordance with a required HACCP plan*

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. such as when these types of records are not required for the operation of the establishment.

N.O. Do Not Mark This Item N.O.

5. TIME / TEMPERATURE CONTROLS

NOTE: Cooking temperatures must be taken to make a determination of compliance or noncompliance. Do not rely upon discussions with managers or cooks to make a determination of compliance or noncompliance. If one food item is found out of temperature the item must be marked as OUT of compliance.

5.1 Inadequate Cook - Raw Animal Foods*

- A. Raw eggs broken on request and prepared for immediate service cooked to 63° C (145° F) for 15 seconds. Raw eggs broken, but not prepared for immediate service, cooked to 68° C (155° F) for 15 seconds**

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. such as when raw eggs are not used in the establishment, including raw eggs not used in recipes.

N.O. This item may be marked N.O. such as when raw eggs are used in the establishment, but you are unable to determine the cooking temperature.

B. Comminuted fish, meat, game animals cooked to 68° C (155° F) for 15 seconds.

IN/OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. if comminuted meats are not cooked in the establishment.

N.O. This item may be marked N.O. if one or more types of meat are cooked, but you are unable to determine the cooking temperature of any of them.

C. Pork roasts and beef roasts, including formed roasts, are cooked to 54° C (130° F) for 121 minutes or as chart specified and according to oven parameters per chart

IN/ OUT This item may be marked IN or OUT of compliance for one or all of the types of meat, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. such as when roasts or formed roasts are not cooked in the establishment.

N.O. This item may be marked N.O. such as when one or more of these meat items are cooked, but you are unable to determine the cooking temperature for any of them.

D. Ratites and injected meats cooked to 68° C (155° F) for 15 seconds

IN/ OUT This item may be marked IN or OUT of compliance for one or all of the foods listed, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. such as when NONE of the listed foods are cooked in the establishment.

N.O. This item may be marked N.O. such as when one or more of the listed foods are cooked in the establishment, but you are unable to determine the cooking temperature for any of them.

E. Poultry; stuffed fish/meat/pasta/poultry/ratites; or stuffing containing fish, meat, poultry or ratites cooked to 74° C (165° F) for 15 seconds

IN/ OUT This item may be marked IN or OUT of compliance for one or all of the types of poultry/ meat/ratites or stuffed items, with notes made concerning the reason it is OUT of compliance.

N.A. This item may be marked N.A. such as when poultry / meat / ratites or stuffed items are not cooked in the establishment.

N.O. This item may be marked N.O. such as when one or more items are cooked, but you are unable to determine the cooking temperature for any of them.

F. Wild game animals cooked to 74° C (165° F) for 15 seconds

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when wild game animals are not cooked in the establishment.
- N.O.** This item may be marked N.O. such as when wild game animals are cooked, but you are unable to determine the cooking temperature for any of them.

G. Whole-muscle, intact beef steaks cooked to surface temperature of 63° C (145° F) on top and bottom. Meat surfaces are a cooked color

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when whole-muscle, intact beef steaks are not cooked in the establishment, or undercooked steaks are not offered.
- N.O.** This item may be marked N.O. such as when whole-muscle, intact beef steaks are cooked in the establishment, but you are unable to determine the cooking temperature.

H. Raw animal foods rotated, stirred, covered, and heated to 74° C (165° F) in microwave. Food stands covered for 2 minutes after cooking

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when raw animal foods are not cooked in a microwave.
- N.O.** This item may be marked N.O. such as when raw animal foods are cooked in a microwave but you are unable to determine the cooking temperatures for any of them

I. All other raw animal foods cooked to 63° C (145° F) for 15 seconds

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason if it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when other PHF foods not listed above are not cooked in the establishment.
- N.O.** This item may be marked N.O. such as when you are unable to determine the cooking temperature of any food. The inspection should be arranged at an optimum time for measuring at least one cooked item.

5.2 Reheating for Hot Holding**A. PHF are rapidly reheated to 74° C (165° F) for 15 seconds**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when foods are not held over for a second

service. Explanatory notes should be made if this item is marked N.A.

- N.O.** This item may be marked N.O. such as when foods are held over for a second service, but you are unable to check the reheating procedure. Do not depend on discussions with management or cooks to make a determination on this item.

B. Food reheated to 74° C (165° F) or higher in a microwave

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when foods are not reheated in a microwave in the establishment.
- N.O.** This item may be marked N.O. such as when foods are reheated in a microwave but you were unable to make a determination of compliance.

C. Commercially processed RTE, if reheated, held at 60° C (140° F) or above

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when commercially processed ready-to-eat foods are not reheated in the establishment.
- N.O.** This item may be marked N.O. such as when commercially processed ready-to-eat foods are reheated in the establishment, but you were unable to determine the cooking temperature.

D. Remaining unsliced portions of beef roasts are reheated for hot holding using minimum oven parameters

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when remaining unsliced portions of beef roasts are not used or reheated in the establishment.
- N.O.** This item may be marked N.O. such as when remaining unsliced portions of beef roasts are reheated in the establishment, but you were unable to determine the cooking temperature.

Note: Please note that the following items address 5° C (41° F) as well as 7° C (45° F). If you have a temperature that meets the 5° C (41° F) temperature requirement, it should also be noted to be in compliance for the 7° C (45° F) item. If you have a temperature that meets the 7° C (45° F) requirement, it may or may not be in compliance with the 5° C (41° F) temperature requirement. Please write in this section of the report form all the temperatures you take of the products, no matter if they are IN compliance or OUT of compliance. Remember if one product is out of temperature the item is marked OUT of compliance.

- A. Cooked PHF cooled from 60° C (140° F) to 21° C (70° F) within 2 hours and from 21° C (70° F) to 7° C/5° C (45° F/41° F) or below within 4 hours**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when the establishment is a cook-serve establishment type, or does not cook or heat food.
- N.O.** This item may be marked N.O. such as when the establishment does cool PHF for a second service, but you were unable to determine the temperature and times.

B. PHF (from ambient temperature ingredient) cooled to 7° C/5° C (45° F/41° F) or below within 4 hours

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. such as when no PHF are prepared from ambient temperature ingredient.
- N.O.** This item may be marked N.O. such as when these foods are prepared, but you were unable to determine the temperature.

C. Foods received at a temperature according to Law are cooled to 7° C/ 5° C (45° F/ 41° F) within 4 hours.

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

NOTE: If raw shell eggs are immediately placed under refrigeration capable of keeping foods at 5° C (41° F) or 7° C (45° F), satisfactory compliance is achieved.

NOTE: If one product is found out of temperature the item is marked out of compliance.

- N.A.** This item may be marked N.A. such as when the establishment does not receive eggs, shellstock, milk, or other products that have a transport temperature above 5° C (41° F).
- N.O.** This item may be marked N.O. such as when the establishment does receive eggs, shellstock, milk, or other products that have a transport temperature above 5° C (41° F), but you were unable to determine if these products were cooled down as described above.

5.4 PHF Cold & Hot Holding*

A. PHF is maintained at 7° C/ 5° C (45° F/ 41° F) or below, except during preparation, cooking, cooling, or when time is used as a public health control

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

B. PHF is maintained at 60° C (140° F) or above, except during preparation, cooking, or cooling or when time is used as a public health control

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. such as when there is no PHF hot holding in the establishment.
- N.O.** This item should be marked N.O. such as when you are unable to determine compliance. Inspections should be conducted during a time when hot holding temperatures can be taken.

C. Roasts are held at a temperature of 54° C (130° F) or above

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. if roast is not a menu item.
- N.O.** This item should be marked N.O. such as when you are unable to determine compliance. Inspections should be conducted during a time when hot holding temperatures can be taken.

5.5 Date Marking & Discarding*

A. Date marking for RTE, PHF prepared on-site and opened commercial container held for more than 24 hours

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. such as when there is no RTE, PHF prepared-on-premises, or opened commercial container held for more than 24 hours
- N.O.** This item should be marked N.O. such as when RTE, PHF prepared-on-premises, or an opened commercial container is held for more than 24 hours and you are unable to determine compliance. Do not depend on information from managers or cooks.

B. RTE, PHF / opened commercial container held at ≤ 5° C (41° F) for ≤ 7 days or > 5° C - 7° C (41° F-45° F) for ≤ 4 days and discard

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. if there is no RTE, PHF prepared-on-premises, or opened commercial container held for more than 4 days at 7° C (45° F) or greater than 7 days at 5° C (41° F).
- N.O.** This item should be marked N.O. when RTE, PHF is prepared-on-premises, or opened commercial container is held beyond guidelines listed above and you are unable to determine compliance, or if 5.5(A) is marked OUT of compliance because date marking is not done.

C. If RTE, PHF prepared on-site / opened commercial container is frozen, then 1) consume within 24 hours of thawing or 2) indicate time before freezing on label

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. such as when there is no prepared-on-premises, frozen, RTE, PHF or opened commercial container.
- N.O.** This item should be marked N.O. such as when you are unable to determine compliance.

D. If frozen RTE, PHF prepared on-site / frozen opened commercial container is thawed, hold at $\leq 5^{\circ}\text{C}$ (41°F) for ≤ 7 days minus time from preparation/opening or $> 5^{\circ}\text{C}$ - 7°C (41°F - 45°F) for ≤ 4 days minus the time from preparation/opening and discard

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. such as when there is no prepared-on-premises, frozen, then thawed
RTE, PHF or opened commercial container.
- N.O.** This item should be marked N.O. such as when you are unable to determine compliance.

5.6 Time*

When only time is used as the public health control, food is cooked and served within 4 hours

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may only be marked N.A. such as when time is not used as the only public health control.
- N.O.** This item should be marked N.O. such as when time is used as the public health control and you are unable to determine compliance.

6. FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS*

A. Prepackaged juice/beverage containing juice with a warning label (21 CFR, Section 101.17(g)) not served

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. if a highly susceptible population is not served.
- N.O.** **Do Not Mark** this Item N.O.

B. Use pasteurized eggs in recipes if eggs are undercooked; and if eggs are combined unless: cooked to order & immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella* Enteritidis

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. if a highly susceptible population is not served.

N.O. This item should be marked N.O. only in rare instances when you are unable to determine compliance. Inspections should be conducted during a time when egg dishes and recipes using eggs are prepared.

C. Raw or partially cooked animal food, and raw seed sprouts not served

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item may be marked N.A. if a highly susceptible population is not served.

N.O. This item should be marked N.O. only in rare instances when you are unable to determine compliance. Inspections should be conducted during a time when egg dishes and recipes using eggs are prepared.

D. Unopened food package not re-served

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. This item **may** be marked N.A. if a highly susceptible population is not served.

N.O. This item **may** only be marked N.O. if there is only a vegetarian menu.

7. PROTECTION FROM CONTAMINATION* - CRITICAL ITEMS

A. Separating raw animal foods from raw RTE food and separating raw animal foods from cooked RTE food

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason if it is marked OUT of compliance.

N.A. This item **may** only be marked N.A. such as when there is only a vegetarian menu or only precooked animal foods are used.

N.O. **Do Not Mark** This Item N.O.

B. Raw animal foods separated from each other during storage, preparation, holding, and display

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason if it is marked OUT of compliance.

N.A. This Item may be marked N.A. such as when there are no raw animal foods used, or only one raw animal species is used.

N.O. Do Not Mark This Item N.O.

C. Food protected from contamination - critical items

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

D. After being served or sold to a consumer, food is not re-served

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

E. Discarding or reconditioning unsafe, adulterated or contaminated food

IN/ OUT In order to mark this item OUT, a finding must be made that food is unsafe, adulterated, not honestly presented, from an unapproved source, or RTE food is contaminated by employees. If a finding is not made, mark this item IN compliance. This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

8. FOOD-CONTACT SURFACES

NOTE: *This item will require some judgement to be used when marking it IN or OUT of compliance. It should be marked OUT of compliance if observations are made that support a pattern of noncompliance with this item. One dirty utensil, food-contact surface, or one sanitizer container without sanitizer would not necessarily support an OUT of compliance mark. You must provide notes concerning the reason it is marked OUT of compliance.*

Food-contact surfaces and utensils are clean to sight and touch and sanitized before use*

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

9. PROPER, ADEQUATE HANDWASHING

NOTE: *You must be in the establishment long enough to make an observation for all sections of Personnel.*

Hands clean and properly washed*

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. This item must be marked OUT of compliance if one person is observed with dirty hands or with hands that have not been properly washed.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

10. GOOD HYGIENIC PRACTICES*

Food employees eat, drink, and use tobacco only in designated areas / do not use a utensil more than once to taste food that is sold or served / do not handle or care for animals present. Food employees experiencing persistent sneezing, coughing, or runny nose do not work with exposed food, clean equipment, utensils, linens, unwrapped single-service or single-use articles*

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason if it is marked OUT of compliance. This item must be marked OUT of compliance if one person is observed to be out of compliance with this item.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

11. PREVENTION OF CONTAMINATION FROM HANDS*

Exposed, RTE food not touched by bare hands

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. This item must be marked OUT of compliance if one person is observed to be out of compliance with this item.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

12. HANDWASH FACILITIES

A. Handwash facilities conveniently located and accessible for employees*

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.

N.O. Do Not Mark This Item N.O.

B. Handwash facilities supplied with hand cleanser / sanitary towels / hand drying devices/signage

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

13. CHEMICAL

A. No unapproved food or color additives. Sulfites not applied to fresh fruits and vegetables intended for raw consumption*

IN/ OUT This item is marked IN compliance if no unapproved additives are on site; or if sulfites are on the premises, but they are used properly. This item is marked OUT of compliance if unapproved additives are found on premises and improperly used, or if sulfites are applied to fresh fruits or vegetables.

N.A. This item is marked N.A. if the food establishment does not use any additives or sulfites.

N.O. Do Not Mark This Item N.O.

B. Poisonous or toxic materials, chemicals, lubricants, pesticides, medicines, first aid supplies*, and other personal care items properly identified, stored, and used

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. It may be marked OUT of compliance for improper storage or use of any one of the listed items.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

C. Poisonous or toxic materials held for retail sale properly stored*

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. It may be marked OUT of compliance for improper storage or use of any one of the items.

N.A. This item may be marked N.A. if the establishment does not hold poisonous or toxic materials for retail sale.

N.O. Do Not Mark This Item N.O.

14. CONFORMANCE WITH APPROVED PROCEDURES*

IN/ OUT This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance

- N.A.** This item may be marked N.A. if the establishment is not required by the regulatory authority to have a variance or HACCP procedure.
- N.O.** **Do Not Mark This Item N.O.**

GOOD RETAIL PRACTICES

STATUS

PERSONNEL

15. PERSONNEL CLEANLINESS (FINGERNAILS, JEWELRY, OUTER CLOTHING, HAIR RESTRAINTS)

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance. It may be marked OUT of compliance for improper storage or use of any one of the items.
- N.A.** **Do Not Mark This Item N.A.** unless the establishment has no employees, uses only prepackaged food, or is strictly a vending operation.
- N.O.** **Do Not Mark This Item N.O.**

FOOD & FOOD PROTECTION

16. FOOD Source*, original container, properly labeled, condition, used*, honestly presented*, segregated distressed products

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark This Item N.A.**
- N.O.** **Do Not Mark This Item N.O.**

17. Plant food cooking for hot holding

- IN/ OUT** This item may be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. if vegetables and fruits are not cooked for hot holding in the establishment.
- N.O.** This item may be marked N.O. when plant foods are cooked for hot holding, but are not available for observation during the inspection.

18. Protection from contamination – noncritical items

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

FOOD & FOOD PROTECTION**19. Facilities / EQUIPMENT TO CONTROL Product temperature**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

20. PHF PROPERLY THAWED

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. if PHF are not thawed.
- N.O.** This item may be marked N.O. if food is thawed, but thawing was not observed during the inspection.

21. DISPENSING OF FOOD / utensils properly stored

- IN/ OUT** This item may be marked IN or OUT of compliance on any one of the listed items. If one of the items is OUT of compliance, make notes concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

FOOD EQUIPMENT**22. Thermometers provided and conspicuous**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

23. Food- and nonfood-contact surfaces: designed / constructed*, maintained, installed, located, operated, cleanable*

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

FOOD EQUIPMENT

24. Warewashing facility: designed, constructed, installed, located, operated, cleanable, used

(Accurate thermometers, chemical test kits provided, gauge cock)

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

25. Wiping cloths, linens, napkins, gloves, sponges: properly used, stored

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

26. Storage, handling of clean equipment, utensils

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

27. Single-service / single-use articles: storage, dispensing, USE, no reuse.

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

WATER

28. SAFE Water source*, hot & cold under pressure, adequate quantity*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

PLUMBING

29. Installed, maintained*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

30. Cross connection*, back siphonage, backflow prevention*

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

TOILET FACILITIES

31. Number, convenient, accessible, designed, installed

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.

36. Lighting, ventilation, dressing rooms / designated areas maintained

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

37. Premises maintained free of litter, unnecessary articles, cleaning and maintenance equipment properly stored

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

PHYSICAL FACILITY**38. Complete separation from living / sleeping quarters; laundry**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

PEST AND ANIMAL CONTROL**39. Presence of insects / rodents minimized: outer openings protected, animals as allowed**

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** **Do Not Mark** This Item N.A.
- N.O.** **Do Not Mark** This Item N.O.

SPECIALIZED PROCESSING METHODS**40. Variance for smoking for preservation, curing, brewing alcoholic beverages, using**

N.O. Do Not Mark This Item N.O.

32. Toilet rooms enclosed, self-closing doors; fixtures, good repair, clean, proper waste receptacles

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

SEWAGE

33. Sewage and waste water disposal*

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

GARBAGE & REFUSE DISPOSAL

34. Containers or receptacles: covered, adequate number, insect / rodent proof, frequency of removal, clean Area properly constructed, NECESSARY IMPLEMENTS, SUPPLIES

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

PHYSICAL FACILITY

35. Floors, walls, ceilings: designed, constructed, maintained, clean

IN/ OUT This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.

N.A. Do Not Mark This Item N.A.

N.O. Do Not Mark This Item N.O.

additives as preservatives, or using reduced oxygen to package food

- IN/ OUT** This item should be marked IN or OUT of compliance, with notes made concerning the reason it is marked OUT of compliance.
- N.A.** This item may be marked N.A. if the establishment does not smoke for preservation /cure foods, brew alcoholic beverages, use additives to preserve foods, and/or package foods using reduced oxygen.
- N.O.** **Do Not Mark This Item N.O.**

ABBREVIATIONS	
"CCP"	Critical Control Point
"CL"	Critical Limit
"GRP"	Good Retail Practice
"HACCP"	Hazard Analysis Critical Control Point
"HSP"	Highly Susceptible Population
"NSSP"	National Shellfish Sanitation Program
"PHF"	Potentially Hazardous Food
"RTE"	Ready-to-Eat
"RCP"	Risk Control Plan

Table of Contents

[Home](#)

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

Risk Control Plan

Risk Control Plan				
Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:	State:	Zip:	County:	
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:	
Agency:	Standard's Name:	Indicate Person Filling Out Form: (<i>circle one</i>) Candidate's Form / Standard's Form		
Cold Holding Requirement For Jurisdiction: [5° C (41° F) _____] or [7° C (45° F) _____] or [5° C (41° F) and 7° C (45° F) combination: _____]				

Based on this day's inspection the following uncontrolled hazards known to contribute to foodborne illness were identified: (Uncontrolled hazards include the occurrence of any risk factor or lack of public health interventions as described in the Food Code).

Chart 1: Risk Factors Identified/ Corrective Action Required			
RISK FACTORS IDENTIFIED / CORRECTIVE ACTION REQUIRED			
UNCONTROLLED PROCESS STEP OR CCP	HAZARD (most common)	CRITICAL LIMITS	CORRECTIVE ACTION WHEN LIMITS ARE NOT MET
1.			
2.			
3.			
4.			

II. The following risk control plan is recommended to establish active managerial control of the identified uncontrolled hazards. *(For unmet critical limits, the plan delineates what needs to be controlled and how it will be controlled, along with necessary records and responsible personnel. It will also indicate what training is necessary.)*

As the person in charge of the _____ located at _____, I have reviewed, and understand the provisions of this voluntary Risk Control Plan.

(establishment manager)

(date)

(regulatory official)

(date)

Table of Contents

[Home](#)

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

Risk Control Plan Sample

Risk Control Plan			
(SAMPLE)			
Establishment Name: Hamburger Heaven		Type of Facility: Fast Food (risk category 3)	
Physical Address: 1234 Anywhere Street		Person in Charge: Sam Jones	
City: Nice	State: HI	Zip: 11111	County: Franklin
Inspection Time In: 8:00 a.m.	Inspection Time Out: 1:00 p.m.	Date: 7/25/99	Candidate's Name: Jane Smith
Agency: State Health Dept.	Standard's Name: George Harris	Indicate Person Filling Out Form: (circle one) Candidate's Form / Standard's Form	
Cold Holding Requirement For Jurisdiction: [5 °C (41 °F) <u>X</u>] or [7 °C (45 °F) _____] or [5 °C (41 °F) and 7 °C (45 °F) combination: _____]			

Based on this day's inspection the following uncontrolled CCPs known to contribute to foodborne illness were identified: (Uncontrolled hazards include the occurrence of any risk factor or lack of

public health interventions identified in the Food Code).

Chart 1a: Risk Factors Identified / Corrective Action Required			
RISK FACTORS IDENTIFIED / CORRECTIVE ACTION REQUIRED			
UNCONTROLLED PROCESS STEP OR CCP	HAZARD (most common)	CRITICAL LIMITS	CORRECTIVE ACTION WHEN LIMITS ARE NOT MET
1. <i>Hamburger cooked to 130° F on grill.</i>	<i>Salmonella, E. coli</i> O157:H7 Food Code Reference: 3-401.11(A)(2)	68 °C (155 °F)	<i>Continue to cook until temperature is met</i>
2. <i>Yesterday's chili is reheated to 145° F</i>	<i>C. perfringens</i> Food Code Reference: 3.403.11(A)	74 °C (165 °F)	<i>Continue to reheat until temperature is met or discard</i>
3. <i>Employees do not wash their hands between working with raw and cooked foods.</i>	Bacteria and Viral pathogens Food Code Reference: 2-301.14(G)	<i>Employee must wash hands between working with raw and cooked foods.</i>	<i>Employee must wash hands; review of handwashing training tapes is mandatory.</i>
4.			
5.			

II. The following risk control plan will be implemented to establish active managerial control of the identified uncontrolled hazards. *(For unmet critical limits, the plan delineates what needs to be controlled, and how it will be controlled, along with necessary records and responsible personnel. It will also indicate what training is necessary.*

Plan for Hazard #1 - Cooking temperature of hamburgers

Temperature checks of hamburger patties will be taken on the first batch of hamburgers cooked.

Sam Jones will record the temperatures on his production chart.

Hamburgers with a temperature below 68 °C (155 °F) will be returned to the grill for further cooking to internal temperature of 68 °C (155 °F).

Temperature records will be faxed to Jane Smith each Friday for 4 weeks.

Plan for Hazard #2- Reheat of leftover chili for hot holding.

Leftover chili will be reheated on the stove.

Sam Jones will check the temperature of the chili before placing it on the steam table.

The temperatures will be recorded on his production chart.

Chili with a temperature below 74 °C (165 °F) will be placed back on the stove until it reaches 74 °C (165 °F). The records will be held for Jane Smith's review during her visit on 8/26/99.

Plan for Hazard #3 - Proper handwashing All employees will review the handwashing training tapes provided by the Health Department.

Sam Jones will keep a record of those employees who have reviewed the tapes.

Employees will keep a record each time they wash their hands for one week.

Sam Jones will monitor and maintain this record.

On 8/26/99 this record will be mailed to Jane Smith.

As the person in charge of the **Hamburger Heaven** located at **1234 Anywhere Street**, I have reviewed and understand the provisions of this voluntary Risk Control Plan from 7/26/99 to 8/26/99.

Sam Jones
(establishment manager)

7/25/99
(date)

Jane Smith
(regulatory official)

7/25/99
(date)

Table of Contents

Home

Hypertext updated by ces/ear 2000-AUG-28

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

HACCP PLAN VERIFICATION WORKSHEET

(Note: This document is for optional use only, and is not a requirement for the Standardization Procedure)

Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:	State:	Zip:	County:	
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:	
Agency:	Standard's Name:	Indicate Person Filling Out Form: (circle one) Candidate's Form / Standard's Form		
Cold Holding Requirement For Jurisdiction: [5 °C (41 °F)_____] or [7 °C (45 °F)_____] or [5 °C (41 °F) and 7 °C (45 °F) combination:_____]				

1. Have there been any changes to the food establishment menu?

Yes _____ No _____

DESCRIBE: _____

2. Was there a need to change the food establishment HACCP plan because of these menu changes?

Yes _____ No _____

3. List Critical Control Points (CCPs) and Critical Limits (CLs) identified by the establishment HACCP plan?

CCPs	CLs
_____	_____
_____	_____
_____	_____
_____	_____

4. What monitoring records for CCPs are required by the plan?

Type of Record	Monitoring Frequency	Record Location
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. Record compliance under 4G of the *FDA Standardization Inspection Report* (ANNEX 2 Section 1).
 Are monitoring actions performed according to the plan?

Yes _____ No _____ Describe under 4G of the *FDA Standardization Inspection Report* .

6. Is immediate corrective action taken and recorded when CLs established by the plan are not met?

Yes _____ No _____

DESCRIBE: _____

7. Are the corrective actions the same as described in the plan? Yes _____ No _____

DESCRIBE: _____

8. Who is responsible for verification that the required records are being properly maintained?

9. Did employees and managers demonstrate knowledge of the HACCP plan?

Yes ____ No ____

DESCRIBE:

10. What training has been provided to support the HACCP plan?

11. Describe examples of any documentation that the above training was accomplished?

12. Are calibrations of equipment/thermometers performed as required by the plan?

Yes ____ No ____

DESCRIBE:

Additional Comments:

Person Interviewed: _____

Table of Contents

Home

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

HACCP PLAN VERIFICATION SUMMARY

(For Subparagraph 3-302 (B)(3))

Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:	State:	Zip:	County:	
Insp. Time In:	Insp. Time Out:	Date:	Candidate's Name:	
Agency:	Standard's Name:	Indicate Person Filling Out Form: (circle one)		
		Candidate's Form / Standard's Form		
Cold Holding Requirement For Jurisdiction: [5 °C (41 °F)_____] or [7 °C (45 °F)_____] or				
[5 °C (41 °F) and 7 °C (45 °F) combination:_____]				

Chart 2: HACCP Plan Verification Summary			
HACCP Plan Verification Summary (circle YES or NO)			
	Record #1	Record #2	Record #3
	Today's Date:	2nd Selected Date:	3rd Selected Date:
Required Monitoring Recorded ¹	YES/ NO	YES / NO	YES / NO
Accurate and Consistent ²	YES / NO	YES / NO	YES /NO
Corrective Action Documented ³	YES / NO	YES / NO	YES/ NO
Total # of record answers that are in Disagreement with the Standard = _____ (This box for Completion by Standard only)			

The use of a HACCP plan by a food establishment can be verified through a review of food establishment records and investigating the following information:

1. Does the food establishment's HACCP documentation indicate that required monitoring was recorded on the 3 selected dates? A "YES" answer would indicate that all required monitoring was documented. If any required monitoring was not documented, a "NO" answer would be circled in this section.
2. Does the food establishment's HACCP documentation for the selected dates appear accurate and consistent with other observations? A "YES" answer would indicate that the record appears accurate and consistent. A "NO" answer would indicate that there is inaccurate or inconsistent HACCP documentation.
3. Was corrective action documented in accordance with the HACCP plan when CLs were not met, on each of the 3 selected dates? A "YES" answer would indicate that corrective action was documented for each CL not met for each of the 3 selected dates. A "Yes" can also mean that no corrective action was needed. A "NO" answer would indicate any missing or inaccurate documentation of corrective action.

Table of Contents

[Home](#)

Hypertext updated by ces/ear 2000-AUG-23

U. S. Department of Health and Human Services
Public Health Service
Food and Drug Administration

FDA Procedures for Standardization and Certification of Retail Food Inspection/Training Officers 2000

Cover Memo
Contents
Expanded Contents

SCORING FORM AND INSTRUCTIONS FOR SCORING AND DETERMINING PERFORMANCE

The purpose of the following chart is to tally the disagreement between the Candidate's and the Standard's responses on the *FDA Standardization Inspection Report* (Annex 2 Section 1). The Standard determines whether the Candidate properly identified and categorized violative conditions on each of the "Interventions/Risk Factors" and the "Good Retail Practices (GRPs)" portions of the *FDA Standardization Inspection Report*. The Standard may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standard would alert the Candidate to the missed opportunity.

Chart 3: Performance Criteria Tally of Disagreements in Each Establishment									
Candidate's Name:					Standard's Name:				
Candidate's Address:		Agency:		City:		State:		Zip:	County:
Standard's Address:		Agency:		City:		State:		Zip:	County:
Total Inspection Time :		Date:		Location of Standardization:					
ESTABLISHMENTS									
Performance Area	1	2	3	4	5	6	7	8	TOTAL (1-8) or TOTAL (1-6)
Risk-Based Inspection									
Good Retail Practices									

RISK-BASED INSPECTION:

To pass this section, the Candidate must achieve an average score of 90 percent (no more than 45 disagreements for all 8 establishments) with no more than 11 disagreements per establishment.

Step 1. Determine the number of disagreements per establishment and record it in the chart (Performance Criteria Tally of Disagreements).

If the disagreements/establishment is ≤ 12 , proceed to step 2.

If the disagreements/establishment is ≥ 12 , stop inspections. Candidate fails.

SCORING FORM AND INSTRUCTIONS FOR SCORING AND DETERMINING PERFORMANCE

Step 2. Total the number of disagreements on Interventions/Risk Factors for all the establishments.

If the disagreements are ≤ 45 for 8 establishments, the Candidate passes.

If the disagreements are > 45 for 8 establishments, the Candidate fails.

If the disagreements are ≤ 33 for 6 establishments, the Candidate passes.

If the disagreements are > 33 for 6 establishments, the Candidate fails.

Good Retail Practices:

To pass this section, the Candidate must achieve an average score of 85 percent (no more than 32 disagreements for all 8 establishments) and have no more than 5 disagreements on GRPs per establishment.

Step 1. Determine the number of disagreements per establishment.

If the disagreements/establishment are ≤ 6 , proceed to step 2.

If the disagreements/establishment are ≥ 6 , stop inspections. Candidate fails.

Step 2. Total the number of disagreements on GRPs for all establishments.

If the disagreements are ≤ 32 for 8 establishments, the Candidate passes.

If the disagreements are > 32 for 8 establishments, the Candidate fails.

If the disagreements are ≤ 24 for 6 establishments, the Candidate passes.

If the disagreements are > 24 for 6 establishments, the Candidate fails.

Application of HACCP Principles: A "satisfactory" score is required to pass.
Refer to Chapter 3, Table 2

SCORING FORM (EXAMPLE #1)

Chart 3a: Sample Performance Criteria Tally of Disagreements in Each Establishment**PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)**Candidate's Name: **Jane Smith**Standard's Name: **George Harris**Candidate's Address: **1234 Anywhere Street**Agency: **State**City: **Nice**State: **HI**Zip: **12345**County: **Franklin**Standard's Address: **4321 Somewhere Street**Agency: **FDA**City: **Washington DC**

State:

Zip: **20204**

County:

Total Inspection Time: **72 hrs**Date: **7/25/99**Location of Standardization: **Washington D.C.****ESTABLISHMENTS**

Performance Area	1	2	3	4	5	6	7	8	TOTAL (1-8) Total (1-6)
Risk-Based Inspection	9	11	11	5	2	2	3	1	44
Good Retail Practices	3	2	2	5	3	3	2	2	22

In this example, the Candidate passes both the Risk-Based Inspection and the Good Retail Practices portions. The number of disagreements for any one establishment did not exceed the maximum and the total number of disagreements for all the establishments also did not exceed the maximum number.

SCORING FORM (EXAMPLE #2)

Chart 3b: Sample Performance Criteria Tally of Disagreements in Each Establishment									
PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)									
Candidate's Name: Jane Smith					Standard's Name: George Harris				
Candidate's Address: 1234 Anywhere Street	Agency: State		City: Nice			State: HI	Zip: 12345	County: Franklin	
Standard's Address: 4321 Somewhere Street	Agency: FDA		City: Washington D.C.			State:	Zip: 20204	County:	
Total Inspection Time : 72 hrs	Date: 7/25/99		Location of Standardization: Washington D.C.						
ESTABLISHMENTS									
Performance Area	1	2	3	4	5	6	7	8	TOTAL (1-8) Total (1-6)
Risk-Based Inspection	11	11	12						
Good Retail Practices	6	5	4						

Here the Candidate fails the Risk Based Inspection portion of this exercise. The Candidate was close to the maximum number of disagreements for any one establishment in the first two facilities and exceeded this maximum number of disagreements in the third establishment

FINAL SCORING REPORT

Chart #4: Candidate's Composite Performance Score			
CANDIDATE'S FINAL PERFORMANCE SCORE			
Candidate's Name:	Title:		
Agency:	Office Telephone Number:		
Office Address:	City:	State:	Zip:
Standard's Name:	Standard's Title:		
Agency:	Office Telephone Number:	Location of Standardization:	
Office Address:	City:	State:	Zip:
<i>Instructions: For the following Performance Areas circle the Level of Agreement.</i>			
PERFORMANCE AREA	LEVEL OF AGREEMENT		
1. RISK-BASED INSPECTION	PASSES	FAILS	
2. GOOD RETAIL PRACTICES	PASSES	FAILS	
3. APPLICATION OF HACCP PRINCIPLES	SATISFACTORY	UNSATISFACTORY	
a. Process flow Charts	Satisfactory	Unsatisfactory	
b. Risk Control Plan	Satisfactory	Unsatisfactory	
c. Verification of HACCP Plans	Satisfactory	Unsatisfactory	
(Initial Certification only) d. Statement of HACCP Principles	Satisfactory	Unsatisfactory	
4. INSPECTION EQUIPMENT	SATISFACTORY	NEEDS IMPROVEMENT	
5. COMMUNICATION	SATISFACTORY	NEEDS IMPROVEMENT	

Comments:

STANDARD'S SIGNATURE:

NAME (Print): _____

NAME (Signature): _____ **Date:** _____

Table of Contents

Home

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